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ABSTRACT

This is one of three companion volumes that present the theoretical basis, instructional strategies, and participant materials for the Preparing Educational Training Consultants: Organizational Development (PETC-III) program, an instructional system for training school system organizational development (OD) consultants. This particular publication provides the theoretical framework for the PETC-III training system and, more generally, for the application of OD in educational settings. The PETC-III program is one of eight instructional systems that together comprise the Providing Organizational Development Skills (PODS) program, which is intended to provide educators with the knowledge, skills, and sensitivities to organize and manage educational systems in more relevant, humane, effective, and efficient ways. The eight component systems of PODS are most effective when taken sequentially; PETC-III is intended to be the last step in that sequence. The training design of PETC-III calls for five separate 3-4 day workshop sessions totaling 17 days, to be held during a period of 6-8 months. (JG)

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Preparing Educational Training Consultants: Organizational Development

Organizational Development in Education

Charles C. Jung
Northwest Regional Educational Laboratory

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Saralie B. Northam, Editor

April 1977

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Northwest Regional Educational Laboratory, 710 S.W. Second Avenue, Portland, Oregon 97204

Organizational Development in Education

Dedication:

To my children and all the others who will have to deal with what we leave for them.

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Foreword:
By Way of Introduction . . .

How does an educational consultant become an effective organizational development consultant?

This book is designed to help answer that question. It is directed toward individuals who feel at home in the world of schools and educational organizations, possess some of the skills and artistry of the consultative process, and now want to acquire some key insights from the emerging field of organizational development (OD).

The basic text of this book was developed by Dr. Charles Jung, who is recognized widely in both educational and organizational development circles. He has condensed concepts and approaches from a wide range of OD publications and presents these concepts in various models and systems of behavior. To ensure that he had dealt with the major areas of understanding adequately, Dr. Jung asked two of us from the noneducational OD field to review the text carefully and to contribute our own impressions. (It has been an enriching experience for us to do so!) Our reflections appear at several points in the book.

Our overall impression is that these pages present models that do a thorough job of identifying and categorizing some key dimensions of organizational life, together with systematic ways of analyzing one's own consulting behavior. The basic text should give you, the consultant-reader, a solid base of knowledge for sorting through some very complex organizational problems and issues.

The thoroughness and compactness of the text may make it seem heavy reading at times. (At least, we found it that way.) Like organizations themselves, the models describing them must be complex to be realistic. So be prepared to do some solid digging into abstractions--and give yourself time to mull over the connections and implications.

It also occurred to us that the reader of this compact book who wants to practice the art of organizational consulting must avoid at all costs the temptation to become overly bookish in approaching real organizations and individual clients. A mind-set that is too analytical can block out key data. A consultant whose mind is dominated by too rigid a frame of reference may have trouble understanding the client's perspective. The person who is too intrigued and impressed with a precise analytical scheme may become impatient with problems that do not come in neatly-arranged packages. And the ultimate disaster, of course, awaits the one who forces data into preset categories.

When you are tempted to use conceptual models too slavishly, we suggest that you consider the wisdom of the ancient Persian proverb, "You cannot capture a river in a bucket." You can dip a bucket into a river--but what you have in the bucket is not the river--it is only water. The dynamic is gone.... In the same way, you can apply a conceptual model to a dynamic multidimensional organization; but what that model enables you to focus on is only an approximation of the total dynamic organizational process. Equally important to understanding the organizaton may be the currents of less categorizable data and impressions that swirl around you as you experience the people who live in the system. . .

In a sense, we urge you, as a realistic practitioner of organizational consulting, to develop the habit of alternately mastering

conceptual tools and letting go of them. It is imperative to alternately focus on aspects of an organization with precision and then pull back to view the entire operation in perspective, to alternately gather data with an open mind and then pause to assess it analytically. It is the ebb and flow, Yin and Yang, that will bring both theoretical and practical strength to your efforts.

One way to test this approach is to intersperse your reading of this book with periods of reflection and application for yourself. For example, before reading Chapters I and II, you might close your eyes for a few minutes and imagine a call you've received from the chief executive of an educational system or organization with which you are familiar. He/she has said, "I'd like to make this organization more effective and healthy. How do I go about doing it?"

As you think of that executive awaiting your reply, what questions would flow through your mind?...What would you like to know to give an intelligent response?...Jot down those questions--then read the first chapters of this book....

By the time you finish Chapter II, we'll have some other thoughts to share with you. Meantime, accept our best wishes as you venture into the sometimes exciting, sometimes dull, but always complex world of organizational development.

Barry Z. Posner
Warren H. Schmidt

Barry Z. Posner is an Assistant Professor of Management at the University of Santa Clara, Santa Clara, California. Warren H. Schmidt currently serves as Visiting Professor of Public Administration, University of Southern California.

Acknowledgments

The seeds of this book began in the Institute for Social Research (ISR) of Michigan. There, in the newly founded Center for Research on the Utilization of Scientific Knowledge (CRUSK), a climate was created for learning ways to explore, understand and live in a changing world. More than knowledge and scientific methodology were required. A professional and interpersonal milieu which existed during the early 1960's in the Institute, created a setting which launched a variety of social science efforts including the ones which led to this book. In one sense, this book may be best understood as a reflection of the living process which I became involved in at that time.

The primary contributor to my involvement and growth was Ron Lippitt. I understand much of what I have done in organizational development since as a continuation and testing of his insights. Others to whom I am especially indebted from that period include Floyd Mann, the late Bob Fox, Mark Chesler, Dick Schmuck, Ron Havelock, Don Barr and Mort Schavitz.

One of the initial projects of the new center (CRUSK) involved a consortium of universitites and schools coordinated by the National Training Laboratories (NTL). Its purpose was to study processes of

planned change in school districts. It was called the Cooperative Project for Educational Development (COPED). The Cooperative Project for Educational Development was one of the earliest major organizational development efforts in the field of education. Many insights gained from COPED colleagues are reflected in this book. I am especially grateful to Matt Miles, Dale Lake, Goodwin Watson, Paul Buchanan, Elmer Van Egmond, Micky Ritvo, Don Kline, Ken Benne, Dick Beckhard, Herb Thelan, Fred Lighthall, Max Goodson, Warren Hagstrom and Bill Schutz.

A special effort in the action part of the COPED project concerned the training of educators in some of the beginning capabilities of capsulating organizational improvement. Dorothy Mial and I wrote proposals which were funded by both the U. S. Office of Education and the Ford Foundation supporting the Preparing Educational Training Consultants (PETC) program. Preparing Educational Training Consultants program was begun as a five-week intensive training program of NTL at its summer campus in Bethel, Maine. I am especially indebted to Dorothy who was the overall coordinator of the COPED consortium (as well as a principal trainer in the PETC program). Her tact, expertise and personal support were a major factor in my growth as a trainer of trainers. Other principal trainers and designers of the PETC training during its first three summers of 1966, 1967 and 1968, were Ron Lippitt, Dick Albertson, Charles Hosford and Gordon Lippitt. Trainees made special contributions to documenting the first and third summers; among these, I am especially thankful to Jim Otto and Art Parklann. A student who made an essential contribution as documentor of the third summer PETC program was Ken Bradley.

Documentation of the PETC program from NTL provided the foundation for initiating the sequence of three PETC training systems as sets of instructional materials developed by the Northwest Regional Educational Laboratory. They eventually incorporated concepts and activities ranging far beyond the original COPED and NTL contributions. For derivation of the model of development of individual social-psychological self, I am indebted to Barry Jentz, Jean Butman, Alan Pino, Robbie Rosenberg, Chris Edwards and

Bob Wittes. I am further indebted for critical reviews and discussion of various parts of this book at different stages of its creation to Ron Lippitt, Eva Schindler-Rainman, Marc Tucker, Irv Milgate, Dick Olson, Lawrence Kohlberg, William Perry, Ren Likert, Jack Hough, and especially, Barry Posner and Warren Schmidt who have added a Foreword and three Commentaries.

As is briefly described in the Introduction, this book was created over a three-year period as the "Central Ideas" for the Laboratory's third PETC training system, *Preparing Educational Training Consultants: Organizational Development (PETC-III)*. The book was finally completed with the intention that it be a companion to two other volumes which detail the instructional strategies of PETC-III and the necessary participant materials for the training.

Acknowledgment needs to be given to others I worked with on the Laboratory team whose contributions and support made this book possible. Principal members of this team were René Pino and Ruth Emory. Together, they created, wrote and repeatedly revised the materials of the PETC training systems, the third of which uses this book as its primary content. The form of many concepts and models presented here grew out of our interactions and their trials with trainers. The text includes a number of their insights and the benefit of their experiences. Occasional contributions also came from John Lohman and from Bill Ward, Marilyn Rieff and John Picton who were responsible for our team's direct contact with schools. Of our evaluators, Dick Arends' experience with educational organizations was especially important. Evaluation contributions also came from Gary Milczarek, Nick Smith, Steve Murray, Dean Nafziger and David Green. Saralie Northam provided essential editorial help. Secretaries who made particular contributions to typing and proofing countless revisions and modifications included Juanita Holloway and Nan Tupper.

Institutional support at the Northwest Regional Educational Laboratory was provided by many. I owe special appreciation to the director, Larry Fish, for his continuing faith in our efforts and to Norm Hamilton and Bob Rath, for their administrative guidance.

Introduction

This book is concerned with ways of understanding schools and helping them become more effective organizations. During the past two decades, such helping efforts have come to be called organizational development (OD). This book is aimed at increasing your understanding of the growing field of organizational development as it applies to schools. As you will see, we believe that the world is changing in some very fundamental ways. Schools play a critical role in the directions these changes take. They may function as organizations facilitating or inhibiting human evolution. We believe you may contribute to determining which way things will go.

This book was written originally to be used as part of an extensive training program. It represented the "central ideas" for a workshop entitled *Preparing Educational Training Consultants: Organizational Development (PETC-III)*. The last workshop in the PETC series, it is also the final training experience in a sequence of eight workshops which individuals can experience over a period of three or four years. The materials, or instructional systems, for conducting these eight workshops have been developed primarily by the Northwest Regional Educational Laboratory over a period of nine years.

As a combination, this sequence of eight training systems has come to be known as "PODS," which stands for Providing Organizational Development Skills. This sequence provides a basic minimum of experiential learning for those who are interested in OD with schools. In their recommended order, they include:

1. *Interpersonal Communications (IPC)*
2. *Research Utilizing Problem Solving (RUPS)*
3. *Preparing Educational Training Consultants: Skills Training (PETC-I)*
4. *Interpersonal Influence (INF)*
5. *Social Conflict & Negotiative Problem Solving (SC&NPS)*
6. *Preparing Educational Training Consultants: Consulting (PETC-II)*
7. *System Approach for Education (SAFE)*
8. *Preparing Educational Training Consultants: Organizational Development (PETC-III)*

This volume has been prepared with the assumption the readers would have knowledge and experience in the areas covered by the seven systems which are proposed as prerequisite training to PETC-III. These prerequisites may not be necessary for you to find ideas of some worth to you. It is strongly suspected, however, that they may make a difference in the way you understand those ideas. In all fairness, you should at least be warned that this book is written in a context which includes a set of assumed prerequisites.

As in most fields, OD embraces a certain amount of jargon. In this case, organizational development jargon has been mixed with jargon from the field of education. Much of the jargon is meaningful, for it represents special ways of thinking about things peculiar to the fields of education as well as organizational development. As you read on, you may see that we believe the most special aspects of these two fields is their developmental nature. Developmental changes are not simply a matter of adding new ideas. They involve new ways of thinking about ideas. They involve changes in the way we experience what is happening in our worlds.

The sequence of training originally designed by the Northwest Regional Educational Laboratory provides a combination of active experiences which facilitate developmental change. As such, the issue of simply reading this book out of context goes beyond the questions of whether you have the assumed prerequisites. The ideas presented are meant to be explored, wrestled with, argued, altered and tried out as applied both to the organizations you work with and to your own professional development. This process is meant to occur in high trust relationships which you have created during the previous two or three years of study and training.

There are many things about organizational development not covered in this book. If you are using it as you experience the PETC-III training system, you will be introduced to the growing field of literature on OD. The PETC-III training system, not this volume, is intended as an introduction. We sought to avoid covering everything here. We hope this volume provides a framework for entering the field and for keeping current with its unfolding theory and research.

At the same time, the developmental framework offered is not yet found in the OD literature. We have had conflicting advice from OD experts about inclusions of such things as our model of organizational maturity. One such expert thought it should be the focus of several years of research before being presented in this format. Another believed that the past twenty years of research in the field of industry contains adequate findings to support our model. We were most influenced by others who argued that it should be shared, not because it is or is not proven valid for educational organizations, but because it is provocative. The primary challenge for the OD consultant is not simply to know what is generally true. It is to discover, in working with each client system, what is uniquely true for that client system. The model of maturity, along with all ideas and suggestions in this book, is meant to be considered only insofar as it may help this discovery process in the systems you work with.

Let us share further what we have included in this volume and why. Chapter I shares our view of how individuals are currently changing, how our society is changing, and implications for public

education. Out of this framework, we feel it important to state our value position concerning change and improvement in education. Chapter II concerns organizations as systems. It presents ideas of how educational organizations are unique kinds of systems as well as suggests ways they may change and issues currently faced by many schools.

Whereas Chapters I and II suggest how things tend to occur in educational organizations, Chapters III and IV suggest how they can be worked with in OD projects. Chapter III proposes a general approach and highlights some especially critical issues such as dealing with organizational pathology, defining system boundaries, creating entry and changing structures and norms. Many other issues are meant to be explored through examining existing literature and sharing with others in the course of the training. Chapter IV repeats and expands some of the diagnostic and planning tools used earlier in the whole training sequence.

Chapter V focuses on your own professional growth as an organizational development consultant. The PETC-III training system does not just emphasize a focus on client systems. Considerable time is devoted also to exploring what you, as an OD consultant, actually know, as well as to what you are able to do in the consultant role.

The book also contains a foreword and commentaries from two OD professionals outside the field of education. Barry Z. Posner and Warren H. Schmidt were willing to provide insights from their OD experience with business and industry in the United States and other countries. Their commentaries come at the end of Chapters II, III and V.

A postscript tells a bit more about the training design of PETC-III. It also offers some suggestions and cautions about attempting to conduct such training. The two companion volumes to this one, used during the eight-month training are entitled:

> *Preparing Educational Training Consultants: Organizational Development (PETC-III) Instructional Strategies.* Pino, René and Ruth Emory. Portland, Oregon: Northwest Regional Educational Laboratory, Improving Teaching Competencies Program, 1976.

Preparing Educational Training Consultants: Organizational Development (PETC-III) Participant Materials. Pino, René and Ruth Emory. Portland, Oregon: Northwest Regional Educational Laboratory, Improving Teaching Competencies Program, 1976.

Finally, a bit needs to be said about the authorship of this book. The contributions of a foreword and commentaries by Posner and Schmidt are so designated. The rest represents the work and ideas of many. The term, "the authors of PETC-III," is used repeatedly and refers to the research and development team at the Northwest Regional Educational Laboratory. These individuals created *Preparing Educational Training Consultants: Organizational Development* as a workshop training experience of which this book is only a part. As individuals growing in a pluralistic world, we never agreed on every particular. The book generally represents our shared thinking as a research and development team. Members of this team, along with others to whom we feel indebted, were noted in the acknowledgments of this volume.

Chapter I:
Individual Development, Social Change and Needs of Public Education

Chapter I

"...for there is nothing either good or bad, but thinking makes it so...." How, then, do we evaluate our public system of education? There is a challenge in these words that Shakespeare wrote for Hamlet some 370 years ago. It is easy enough to say what we desire. Too often we leave unsaid why our "thinking makes it so."

The Meaning and Vulnerability of Educational Evaluation

Let us use the definition that Stufflebeam and his colleagues proposed (Stufflebeam, 1971) for the process of educational evaluation. That is, information is applied to answer questions concerning the context, inputs, processes and products of the educational system. In the process of evaluating, one must have an objective assessment of the way things are, an operational definition of what is desired in accordance with what is possible, and an operationally defined theoretical model of how and why things do, and may, operate in the system.

Educational evaluation is most vulnerable in its lack of operationally defined theoretical models. Without such models, it is difficult to determine what caused a change, or lack of change.

Without them, there can be no accountability for negative side effects, nor reward for constructive side effects. In education, they are needed most to struggle toward an answer to John Goodlad's question, "What kinds of human beings do we wish to produce?" (Goodlad, 1968)

Consider reactions to the following situations, should they occur in your own school district:

All the teachers have gone on strike. We might think this good if we believe it necessary to correct an unjust situation which is maintaining a low quality of instruction in the schools. We might think the situation bad if it were viewed as unfair demands of teachers who are unconcerned about the welfare of their students.

The district has adopted the new Zippy Do Readers for use by all elementary students. We might think this good if we believe these curriculum materials can be used in a manner appropriate to "all" the students. But, if use of these materials inhibits some from developing toward their potential as responsible, contributing members of society, we might feel great concern. (The term "appropriate" will be defined a little later in this chapter.)

The district is now using digital computers to manage course selection and placement of all high school students. We might think this good if it means such scheduling now costs the district less and frees some staff from arduous bookkeeping tasks. We might think it bad if we believe it forces some students into learning experiences that are poorly suited to their capabilities, nonrelevant and/or blocking their movement toward more advanced ways of experiencing.

Seventh graders demonstrate knowledge of 32 percent more facts in the area of general science this year than last year. We might think this good if we believe achievement of such facts by seventh graders is a valuable end in itself. We might think otherwise if we learn the students had to spend 300 percent more time studying general science in order to achieve this increased level of achievement; 90 percent of this increase is not retained three years later and 64 percent of the students become significantly more negative in their attitude toward learning science than in the previous year.

As developers of curriculum and materials for training educators, we at the Northwest Regional Educational Laboratory (NWREL) feel

strongly confronted by the need for operationally defined theoretical models. We need to have an explicit value position against which we can evaluate our work. The core of our response to this confrontation has emerged as the following empirically supported theory of the development of the social-psychological "self." This theory may be observed in an individual as well as in an analysis of current change and needs in society. While the following statements may not be completely adequate, they have progressed far enough to be presented for critique, trial and contributions from others.

The Need for Improvements in Education

Major improvements are needed in the education of young people for living in today's world. (Silberman, 1970) Traditional school methods and curriculum content are centered mainly in the transmission of information. Students are not provided with the knowledge, skills and attitudes necessary to assist them to become responsible individuals capable of living interdependently in a world of continuous, rapid changes. (Illich, 1971)

Schools have generally done well in meeting objectives which center around cognitive learning for students with high intellectual ability and motivation. They have not done well in meeting those objectives which promote individual worth and dignity, self-understandings, maximum potential for individual growth, personalization of education, and self-actualization in the learning process. (Holt, 1964) These latter kinds of objectives have seldom been stated in precise terms; nevertheless, they have been inferred in virtually all generalized statements of educational aims.

The rapidity of change in our society has put a heavy burden on individuals to be self-understanding, self-sufficient and interdependent. It has also made it necessary for institutions to adapt to new and unforeseen conditions. These two conditions demand new and precise procedures for achieving more appropriate kinds of learning for students and for assisting institutions to adapt to new conditions. (Ward and Jung, 1968; Morphet, *et al.*, 1972)

"Appropriateness" in what was taught, from the past orientation of the limited emphasis on academic achievement, was considered

primarily a matter of individualizing learning experiences in terms of readiness. In the current borader perspective, appropriateness must now also include personalizing learning experiences in terms of relevance and facilitation of the individual's social-psychological *"self"* development toward an orientation of personal initiative and social responsibility.

Today's Youth: Learning and the Development of Self

While the work of the schools is to provide learning experiences, the product of schools is change in the behavior of learners. A major part of the need which our work at the Northwest Regional Educational Laboratory is responding to is based on the theoretical supposition that today's youth represents a potentially advanced kind of learner. (Erikson, 1970; Mean, 1970; Menaker, 1965; Perry, 1970) The learning that schools need to provide must be understood in the context of this theoretical model of social-psychological development of the self.

"The act of learning is seen as a complex social-psychological phenomenon. What is seen by the potential learner, how it is seen, how it is related to other awarenesses, the contexts in which it is remembered, and how it is applied behaviorally will depend on the learner's perceptions of its relevance, its salience, and upon conditions of reinforcement. Relevance, salience and conditions of reinforcement will depend upon the learner's self (which has developed out of interactions with others) and current perceptions of the relationships of the learner with others." (Jung, 1967b, page 7)

For human beings, it appears the conditions that determine what is reinforcing, alter in fundamental ways as the individual moves along a dimension of social-psychological self-development. An operationally defined model of self-development appears to be essential for defining a formal system of education that is open to evaluation. What is good or bad as an educational outcome is a function of what we understand people to be and what we hope they can become.

Sources of the Social-Psychological Self Model

The form of the model is adapted from PErry's report, *Forms of Intellectual and Ethical Development in the College Years.* (Perry, 1970) It was conceived as presented here by Charles Jung with major contributions from Jean Butman, Barry Jentz, Alan Pino, Christine Edwards, Robert Wittes and Robert Rosenberg. Consultation on a scholarly retrieval by Pino and review by Jung was contributed by Max Goodson. Critical reviews were contributed by John Hough, Roger Shuy, Henry Brickell, Ronald Lippitt, Eva Schindler-Rainman, William Perry and Lawrence Kohlberg.

The work of Piaget (1954), of Perry (1970) and of Kohlberg (1971) are especially applicable. Research done on Piaget's stages of cognitive development and on Kohlberg's stages of moral development indicate the validity of the theoretical position presented here is already established. Both Perry and Kohlberg have stated their belief that this is so. (Perry, 1972; Kohlberg, 1972)

Kohlberg suggested that Loevinger's model of stages of "ego" development may already encompass enough aspects of this model of self-development to make its presentation unnecessary, although acknowledging that some careful study would be needed to determine if this possibility is true. (Kohlberg, 1972) However, Perry believed this model of self-development was a significantly different, and highly valuable model which relates closely to the others. (Perry, 1972) At this point, we conceive the development of the social-psychological self in an individual as a product which can result from the individual's movements through stages of cognitive and moral development. It represents understanding of "who I am" given one's capabilities of cognizing and valuing. Conversely, this self-understanding provides guidelines for individuals to use in their lives. It is, therefore, of special importance to the educator whose responsibility is to facilitate this experiencing and "making meaning" by the individual.

Lippitt, who worked with Piaget, suggests Piaget's stages of cognitive development are best understood as emergent from the organism's hereditary potential, dependent upon appropriately timed environmental exposures. He suggests Kohlberg's moral stages of development, each of which depends on prior achievement of the

corresponding cognitive stage, are best understood as the result of interactional confrontations. Again, these must occur within certain limitations of timing in the life span of the individual. Lippitt suggests this self-development model is best understood as individual's movements, concerning their understanding of who and what they are, from hereditary emergence of awareness, through interactional kinds of awareness, to a transactional kind of interdependence where individuals accept their part in responsibility for their *selves* and their influence in the world. (Lippitt, 1972a)

Depending upon your familiarity with the work of these social scientists, you may find it of particular interest to consider these issues as you read the theory described here. One concept is especially important to keep in mind: these developmental models are not simply additive. That is, you don't simply add new ideas and viewpoints as you move from one phase to the next. It's not like reading from one chapter in a book to another. What occurs in such transitions is far more complex. These models are more analogous to switching from reading a book to seeing a movie with stereophonic sound. Or, perhaps a better analogy would be to be born blind and receive sight at the age of twenty. A new developmental phase involves a new way of experiencing which must be explored and assimilated. This new way of experiencing tends to replace old ways. What changes for people are the ways they have of "making meaning" out of their experience.

Animal Self

Phase I: Animal Self. In the first phase, the *homo sapien* is an animal being with certain genotypic needs and capacities. The "animal" *homo sapien* learns in the same general process as all animals. (Piaget, 1970) Learning is an operation occurring within the animal in which associational bonds are formed between cognitive, affective and/or motoric elements. (Hartmann, 1951; Erikson, 1959b) We conceive the basic, behaviorist formula (Hall and Lindzey, 1970) for the animal learning process as:

Importance x Contiguity = Learning

Importance is defined as change in the physiological need/capacity state of the organism. Contiguity is defined as juxtaposition of elements in time and space, or by virtue of similarity, as perceived by the organism. Conditions affecting the animal learning process are primarily concerned with physiological need/capacity states and schedules of reinforcement. There are also some kinds of "insight" learnings involving cognitive restructuring. These derive from "similarity" perceptions and are precursers to the change which takes on special importance for *homo sapiens* as they develop through stages and phases of cognitive (Piaget, 1970), moral (Kohlberg, 1971c), and self-development. We have labeled the above, Animal Learning Formula.

Homo sapiens differ from all (or, at least, most) other animals in having innate needs/capacities that allow for awareness of self as subject as well as object. If cultural interactions reinforce such awareness, individuals learn to differentiate themselves as an initiator of action--as an actor as well as a reactor. (Piaget, 1970) The capacity for such awareness appears unique to *homo sapiens*. Individuals become "human" to the extent that this awareness becomes usable to them in initiating ways to meet their needs within their culture and in contributing to the further evolution of that culture. The next four phases of the dimensions of self-development concern the increase of this awareness and the major changes which it can undergo.

Stereotypic Self

Phase II. Stereotypic Self. In the second phase, individuals become aware of themselves as "subject." The first understanding of "who I am"

is based largely on stereotypes of what individuals learn other people are and the subsequent understandings of what they hear them saying about who they are. (Cooley, 1956; Baldwin, 1969) It occurs through interactions with parents, peers and others in the individual's space. It involves modeling and reinforcement in accordance with the social roles and norms of one's culture. (Clausen, 1969; Cottrell, 1969) Behavior which we call "play" is an important instance of this development in American culture. (Erikson, 1959b; Erikson, 1950)

There are reported instances of individuals raised as animals who never evolved out of the understandings of Phase I, Animal Self. Beyond a certain age, they seem to have lost the capacity for such development. (Langer, 1964) The concept of "being" is a product of cultural socialization. (Clausen, 1969)

Once experience from Phase II, Stereotypic Self, has been entered, an added dimension of the learning process is initiated. The Animal Learning Formula is always applicable to human beings, under certain conditions, whatever their state of self-development. But, the further advanced their self-development, the more often an altered formula replaces it. The altered formula is as follows:

Relevance x Contiguity = Learning

Contiguity and learning retain the same definitions. Relevance is defined as a potential for effecting change in the self. Thus, in addition to changes in the physiological need/capacity state of the *homo sapien*, factors that can affect one's social-psychological understanding

of who and what one is, become reinforcers of the human individual's learning. Beyond schedules of reinforcement, we must now be concerned with motivational factors of desire to please others (Jung, 1967c), interest in phenomena of the culture, and understanding of self as responsible for being a learner (Bateson, 1942). We must be concerned with factors of ambivalence concerning inner versus outer directedness (Cooley, 1956; Riesman, 1950), shifting needs between growth and security (Erikson, 1959b), and long- versus short-range goal awareness (Buhler, 1968). We must be concerned with factors of maturation beyond the innate physiological, such as those which are culturally refined intellectual and affective ones. Piaget's stages of cognitive development and Kohlberg's stages of moral development are the major examples. We must be concerned with the stage of self-development and corresponding orientation toward perceiving and experiencing the world.

We now place this process, labeled the "Human Learning Formula," alongside of the Animal Learning Formula.

Animal Learning Formula

Importance	x	Contiguity	=	Learning
(change in physiological need/capacity state)		(juxaposition of elements in time and space or similarity)		(associative bond formed between elements in individual's awareness)

Human Learning Formula

Relevance	x	Contiguity	=	Learning
(potential for effecting change in the self)		(juxaposition of elements in time and space or similarity)		(associative bond formed between elements in individual's awareness)

To make the Human Learning Formula operational, the definition of self-development must be completed.

Individuals who have a Phase II, Stereotypic Self, experience their world in either/or dichotomies. Things are good or bad, right or wrong, in relation to what the individual understands from others. These people lack an experiential or cognitive base of their own for assessing the validity of these dichotomous evaluations. (Kohlberg, 1971c; Bruner, 1971) The evaluations are accepted based on the understandings of self gained by perceiving others and "Animal Learning Formula" reinforcements of who they are by those others.

A person will lack the basis for forming individual, personalized opinions if society tells the individual that all he or she is doing, as well as his or her reactions, are a function of being in a stereotypic role. (Examples may be: "All little girls do what you're doing!" Or, "All blacksmith apprentices feel that way!") Experience belongs to the class of which one is a part rather than the self as a unique individual. By contrast, in a culture where individuals are allowed to own their experience, it is possible to evolve to a Phase III, Opinionated Self.

Opinionated Self

Phase III: Opinionated Self. The Hill and Hill matrix defines "personalized" (Rabow, 1960) as the individual awareness of having one's own, unique thoughts, feelings and behavior in the here and now as contrasted to abstract "things" happening at some other "time" or "place." When society allows individuals to personalize

experiences, they begin to develop areas of opinion in their orientation toward the world. Some things remain dichotomous "rights or wrongs" based on stereotypes that are retained. A growing number of others begin to be assessed and evaluated on the basis of one's own (owned) experience. Such things may be "right for me" and "wrong for you." "This issue is a matter of opinion." (Perry, 1970; Adelson, 1971)

When the individual begins to approach experiences on the basis of expecting that personalized opinion may be appropriate rather than expecting to react on the basis of stereotypic understandings of the world, he or she has entered Phase III, Opinionated Self. It is a fundamental change of orientation toward the world. It represents a fundamental internal reorganization. Individuals in Phase II organize their understanding of who and what they are around a set of stereotypes and expectations of reinforcement. Phase III individuals organize their understanding of who and what they are implicitly around personalized experiences and corresponding opinions. While the transition to an Opinionated Self was based on "owning" one's experience, the individual in this phase is not likely to feel a need to justify opinions. The orientation is that everyone has a right to opinions without awareness of how this orientation was determined.

Boundary of Self

The Nature of the Boundary of Self. At this point an additional dynamic of the developing social-psychological self should be noted. The boundary of understanding oneself as subject--as one taking action rather than simply reacting--is a changing understanding of the meaning of choice

in behavior. The extent and nature of this awareness changes in each phase of self-evolution.

The Phase I, Animal Self, experiences its behavior as reactions to alternative conditions. The Phase II, Stereotypic Self, experiences alternative conditions as providing choices toward which action can be initiated consistent with the understanding of the self. He or she recognizes choices. The Phase III, Opinionated Self, experiences self as a chooser, with areas of personal reference for deciding which actions can be initiated. Anything which is "a matter of opinion" can be explored exclusive of stereotypic evaluations.

Choice is identified as the boundary of self in as much as the individual initiations of actions, or failures to initiate action, put one in situations where he or she does, or does not, expose the self to influence which can change one's understanding of who and what he or she is. This understanding of choice will be defined as the boundary of self changes twice more in relation to each of the last two possible phases of self-evolution.

One further note of clarification must be made before proceeding to describe the last two phases. The boundary of choice is internal between the concept of self and other aspects of the individual as well as between the self and the individual's experience of the external world. That is, the self-concept does not necessarily include all of what the individual is. It is not the same as most definitions of the term "ego" (e.g., Allport, 1960) although some use the terms "ego" and "self" interchangeably. The self is only what individuals understand and accept themselves to be. (Hall, 1970) For example,

the individual might not accept certain physical attributes or experiences of feelings or fantasies as part of who and what he or she is. The individual may take action to avoid admitting these elements to their self-awareness. Clincial concepts of neuroticism and defense mechanisms can be defined from this concept. (Rogers, 1961) Similarly, the individual may block out awareness of aspects of external life space from self-awareness. This idea will be explored further in defining the last two phases of self-evolution.

Existential Self

Phase IV: Existential Self. In a society that presents cross cultural alternatives, the individual may arrive at relativistic awarenesses which lead to rejection of stereotypic and opinionated orientations. (Perry, 1970; Kohlberg, 1971c) The rapid changes, mass media of communications and travel in current American society are pressing such relativistic awarenesses of individuals at unprecedented rates. (Moore and Anderson, 1969) Relativistic awareness has the attraction of providing the individual with a broader, more valid awareness of world realities and one's own range of potential. They challenge the feelings of security attendant with a simpler view of existence. Prior to having relativistic awarenesses, it was easier to avoid choice implications concerning behavior such as nudity. But, today's youth sees that "topless" means one thing in Samoa, another on the lower east side of New York, and yet another Keokuk, Iowa. If they choose to be open to the philosophical, as well as pragmatic, range of alternative meanings, they experience the excitement of a vastly expanded

universe. They enter a Phase IV, Existential Self, by replacing their opinionated experiential organizers (for understanding who they are) with a value for experiencing in a variety of different contexts. (Perry, 1970) For youth in our present society, it appears that one or two alternative routes may be taken once the Existential Self is achieved. The more constructive route, in terms of movement toward the following phase with minimal risk, is described by Lippitt as follows: "There is a greatly increased sense of power. More weight is given to the here and now versus precedent or future consequences. This gives one a sense of excitement and creative freedom." (Lippitt, 1972a)

Perry equates the Existential Self with the individual in his model who has achieved usable awareness of "relativism." In a constructive response, Perry says, "it can be a period of intense excitement because of a person's discovering niceties of patterning in given frames of reference." It, "reestablishes the possibility of making judgments" between orientations which were lost during the Opinionated Phase when, "everyone has a right to his own opinion!" "In relativism, the person submits to the discipline inherent in a given contextual integrity of a given point of view--and then he can examine the logic, or illogic, internally, and its degree of congruence with external data. When he does that, he has to acknowledge that other systems also have integrity." Thus, "the Existential Self moves into increased valuing, but it is contextual in terms of everything being relative." (Perry, 1972)

Perry describes the second route which the individual with a new Existential Self can take as one of "escape" or "rebellion." The escapist way of using this awareness involves a suspension of valuing. It is one in which no judgments are valid because, "everything is relative."

"It all depends on the context, therefore anything goes!" Perry notes that in counseling a youth who takes this position he will acknowledge that "values <u>are</u> different on the Trobriand Islands, but <u>you're here</u>!" This response implies the factor of "commitment" which will be experienced in the next phase of self-development. (Perry, 1972)

The person in Phase IV, Existential Self, who takes the escapist route loses the previous bases for valuing in stereotypic or opinionated terms. He or she retains only his organizing value-for-experiencing. The boundary of self becomes permeable to the point of disintegrating as past reasons are rejected for choosing, or not choosing, and thus exposing the self to influence. It is, correspondingly, a potentially self-destructive phase. The individual might do things in this phase which make it difficult later to believe certain things could be true of one's self. He or she might kill someone, for example. Camus' novel, *The Stranger*, illustrates this orientation dramatically. Harvard students who arrived at this phase of orientation described it as being, "Like standing on quicksand." (Adelson, 1971; Erikson, 1959b; May, 1960; May, 1958)

The early experiences of the Phase IV, Existential Self, can involve much energy devoted

to fighting against being drawn back toward the simpler stereotypic and opinionated kinds of orientations. This matter will be explored later in considering what is happening in current American society as well as some ideas about how and why today's youth are different from past generations. The latter experience of the escapist, Existential Self, might well be characterized as a true "Hippie" orientation. (Kenniston, 1962) Nothing is good or bad. Everyone "should be free to do his own thing." Later, how this differs from what might be characterized as a "Yippie" orientation will be noted.

Some Peculiar Characertistics of the Existential Self. It should be noted that, compared to the Stereotypic, Opinionated or Creative Phases, the Phase IV, Existential Self, has some peculiar characteristics. The organizing principle is a value for experiencing (whether in terms of valuing in different contexts or the escapist's suspension of values position.) The principle is really more a negative value--e.g., a value against being blocked from any particular experiences--than a concrete, positive value as in the case for the other three. The boundary defined in terms of a kind of understanding concerning the meaning of choice in behavior is, likewise, either more of an absence of any recognition of boundaries than a particular definition for them or a chameleon-like interchangeability. It seems quite possible that the Existential Self is an anomaly resulting from the particular conditions that this society happened to evolve to, rather than a phase necessary to the possibility of developing to Phase V, Creative Self. The escapist route may at least be more a special kind

of prolonged transition for many individuals than a phase of self-development in the same sense as the other three. If this is so, some individuals with a Creative Self may have had only a fleeting experience with the Existential Self orientations. Further, the Existential Self Phase would disappear if societal conditions alter in the future. This issue becomes an important one if the model is to be used to derive guidelines for creating educational experiences. Consider, for example, the effects of aiding individuals in making the transition to an Existential Self if, in fact, it is not necessary in order to achieve the following Creative Self! Perry notes that relativistic awareness, if not used in revolt, is used "in the pure fascination with patterned diversity," which may be the beginnings of the Creative Phase of selfhood rather than a phase in itself. (Perry, 1972)

Creative Self

Phase V: Creative Self. It appears that three factors influence the transition from a Phase IV, Existential Self, to a Phase V, Creative Self. The first factor is to be far enough into Phase IV so that energy is free to be experiencing rather than bound up in fighting against being pulled back to the earlier, "safer" orientations. The second factor seems to involve the individual being willing to suspect that life might be purposeful. This differs from the blind acceptance of purposefulness found in earlier orientations. It is a kind of awesome wondering that admits the possibility of purposefulness in humankind's experience in the universe. The third factor is recognition by the individual that his or her behavior represents choices to expose, or not expose, the self to influence. Such recognition

represents acknowledgment by individuals that they have a basic responsibility for determining the creation of who and what they are. (Rogers, 1969) In Perry's terms, it involves the making of "commitments" in various areas of one's life. (Perry, 1970)

When these three factors combine in the individual's experience, he or she reorganizes his understanding of who and what he is. If one is ever to recognize purposefulness in existence, it behooves the individual to commit himself or herself to creating all the "self" and all the life space alternatives possible so as to be best prepared to spot the "evidence" of life's purpose should it occur. The self becomes reorganized around a value for growth. (Rogers, 1967; Maslow, 1954) That is, it's reorganized around expansion of awareness of reality, or, awareness of "oneness" with the universe. (Schachtel, 1959) The world's major theologies are based on this kind of creative insight. One accepts responsibility for his or her part in the creation of self. He or she has arrived at having a Phase V, Creative Self.

Note that this is not the same as a definition of a "creative person" or of a person who has performed a "creative act." It is a definition of social-psychological self-organization and dynamics which can be arrived at dependent upon the individual's cultural socialization. The individual with a Creative Self is one who knows he or she is frequently maintaining, or influencing changes in the self by deciding upon particular social and psychological behaviors. In Maslow's terms, such a person would be

considered "self actualizing." (Maslow, 1954) This person simultaneously knows, of course, that many behaviors continue to be reactive or innate in the animal sense. One may strive to take advantage of this latter awareness by creating "conditions" for one's own growth.

It should be noted that the Creative Self individual does not make explicit choices about each behavioral act. This would be absurd, and virtually impossible. It is, rather, that such a self recognizes that each behavior represents a possibility of choice. Although there may have been many forces acting to produce a particular behavior, it was possible that he or she may have done something different. This individual could have taken the initiative to get into a situation where conditions would have acted as forces toward seeing the life space differently and doing something different. Thus, there is recognition and acceptance of ultimate responsibility for behavior and exposure of one's self to change.

Of course, there are many hereditary and historical things which create much of what the person is prior to reaching the Creative Phase of one's self. But, once having entered the Creative Phase, the individual accepts that all behavior represents the possibility of choice for exposing, or not exposing, the self to change. He or she accepts responsibility for his or her own active part in creating the self from that point on.

Exposing one's self to change usually means entering into an interdependent relationship with another person, or persons, in which one is explicitly making behavioral choices according

to one's decisions (socially and/or psychologically). You are thus, by definition, including them within the boundary of your self. This defines those aspects of relationships with other individuals, with groups and with one's society that are included as part of your identification. It distinguishes those from other aspects of your relationships which may impinge on your decision making, but are not included within your self-identity. For example, I may give one man money because that choice is part of my identification as a Christian, but I would give another money because he is pointing a gun at me. Individuals with a Creative Self thus, not only learn in relation to both animal reinforcement and their self-concept, they also initiate behaviors in accordance with the guidelines derived from the self-concept as well as the ways they conceive the forces in their lives. Education, therefore, is not simply concerned with "putting things into students" which they can show have been retained. As the self evolves, it becomes increasingly a matter of the way students initiate manipulations of their environment which, ultimately, produce further evolution of the culture.

Correlation With Age. The five possible phases of social-psychological self-development do not necessarily correspond to specific ages of a person. There are so many differences among individual factors and cultural experiences that wide variation might be expected. Although developmental theorists believe from analyzing their research that it is unlikely an individual will move to a next phase after being in one for an extended period of time, it may still be

possible to do so. With such cautions in mind it may be helpful to have a rough idea of the age ranges during which each phase may be most likely to occur. Keep in mind that an individual may stay in any one of those phases without going on to the next. Considering available research, the following estimates are suggested.

The Phase I, Animal Self, is likely to give way to the Phase II, Stereotypic Self, somewhere between ages 4 to 7. The Phase III, Opinionated Self, is likely to begin between ages 11 to 17 and might have some relationship to physical puberty. The Phase IV, Existential Self, is likely to begin between ages 15 to 30. The Phase V, Creative Self, may begin between ages 20 to 40.

The Dilemma of Safety *versus* Change

With the inception of a social-psychological self in Phase II, the individual is exposed to a new kind of dilemma as a learner. (May, 1958; Nietzsche, 1967; May, 1960; Sartre, 1969) The animal learner is only concerned with outcomes in terms of physiological need/capacity state. The human learner is additionally concerned with relevance in terms of degree of self-exposure and the degree of personalization in human interaction. Ambivalence, which is a physiologically-based natural condition in people (Magoun, 1969), extends into the issues of human learning and self-evolution. Choice, as the boundary of self, mediates between the relative safety of maintaining the known, current self against the possible advantages of self-exposure yielding changes in the direction of increased capabilities.

Up until Phase IV, Existential Self, the individual's most powerful capabilities are more apt to be used as defenses against alteration of the self than as avenues for its growth. This may speak to issues such as those Fromm addressed in *Escape From Freedom*. (Fromm, 1941) In Phase IV the barriers to perceiving the world and one's self in broad perspective are dropped. This opens the way for insight types of learning which become the most valued goal of learning for Phase V, Creative Self. Insight learning must now be defined to see how it contrasts with animal learning outcomes.

Animal learning outcomes satisfy physiological needs/capacities. Human learning is experientially based. It is a making sense, or meaning, of experiences relative to the stage of evolution of the self. A person may be trained, in the animal learning sense, to weld at a definable level of proficiency. But, it is only when he or she perceives, in the human learning sense, that it is appropriate and desirable to initiate this pattern (which he understands to reflect the person he is) that he would be called a welder. Insight is defined as the identification of relevance, i.e., the discovery that conditions internal or external to one's being can effect a change in the self. It is the dawning of awareness that something in the life space, or something in the individual, not previously accepted as part of the self, has the potential of determining who and what individuals know themselves to be. Here are some of the kinds of insights which can occur:

Kinds of Insight

Insight into the nature of a dilemma--the question becomes clear

Insight into the resolution of a dilemma--
the answer becomes clear

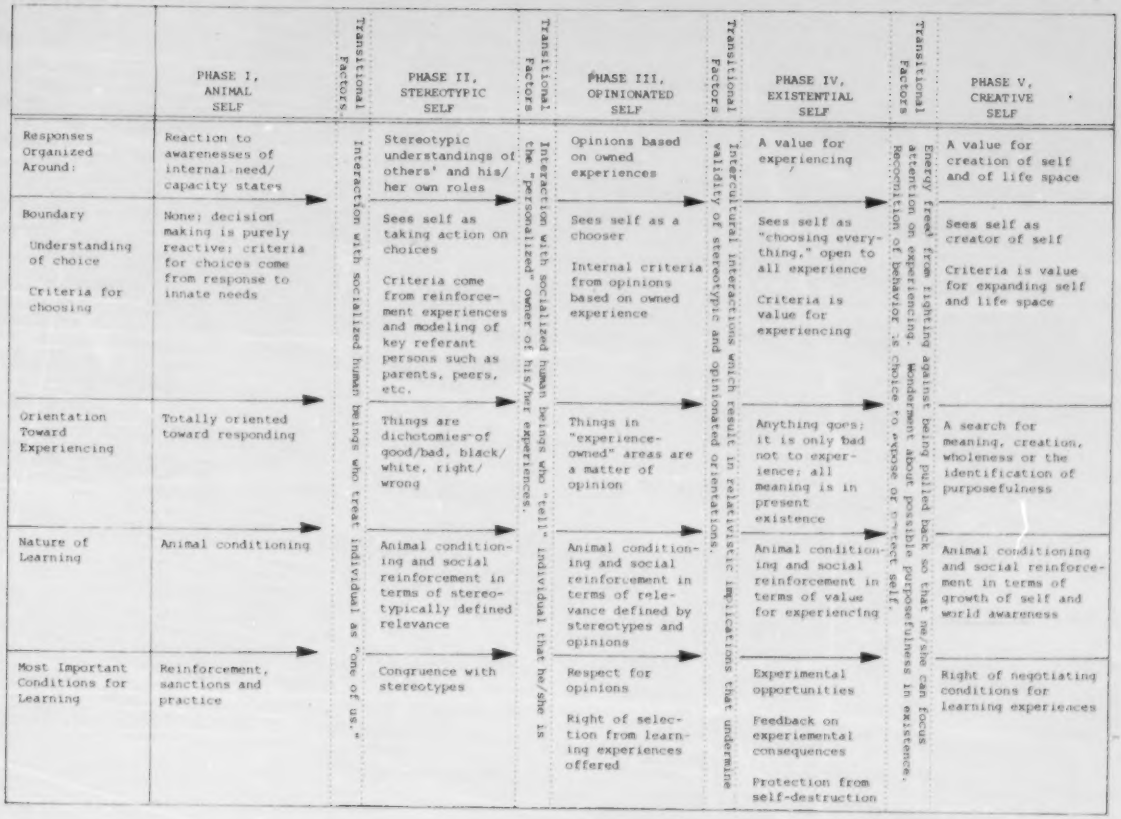
Insight that some attribute can become part
of the self--the potential becomes clear

Insight that an attribute is a part of the
self--the capability becomes clear

Insight that an attribute is natural to
being--acceptability of a need becomes clear

Most learning of the Stereotypic and Opinionated Selves occurs as a result of reinforcement. It is rapidly forgotten, and is generally accessible for behavioral application only under conditions similar to those in which it was learned. By contrast, that learning which does involve insight is easily retained, needs little or no reinforcement, and is broadly generalizable in behavioral applications. For example, tell me once, "Your father just died," and I will never forget it. It has enormous relevance. It affects my understanding of my self and many areas of my behavior.

Insight learning does not replace animal learning for people. It becomes an addition of increasing importance as the self evolves. It is the basis for people having created civilizations to evolve cultures. By animal learning, the individual may learn meanings which people have discovered in the past. By insight learning individuals arrive at their own meanings for these discoveries and for themselves. As a Creative Self, one strives to expand these areas of meaning and discovery.



	PHASE I, ANIMAL SELF	Transitional Factors	PHASE II, STEREOTYPIC SELF	Transitional Factors	PHASE III, OPINIONATED SELF	Transitional Factors	PHASE IV, EXISTENTIAL SELF	Transitional Factors	PHASE V, CREATIVE SELF
Responses Organized Around:	Reaction to awarenesses of internal need/ capacity states	Interaction with socialized human beings who treat individual as "one of us."	Stereotypic understandings of others' and his/ her own roles	Interaction with socialized human beings who "tell" individual that he/she is the "personalized" owner of his/her experiences.	Opinions based on owned experiences	Intercultural interactions which result in relativistic implications that undermine validity of stereotypic and opinionated orientations.	A value for experiencing	Energy freed from fighting against being pulled back so that he/she can focus attention on experiencing. Wonderment about possible purposefulness in existence. Recognition of behavior as choice to expose or protect self.	A value for creation of self and of life space
Boundary Understanding of choice Criteria for choosing	None; decision making is purely reactive; criteria for choices come from response to innate needs		Sees self as taking action on choices Criteria come from reinforcement experiences and modeling of key referant persons such as parents, peers, etc.		Sees self as a chooser Internal criteria from opinions based on owned experience		Sees self as "choosing everything," open to all experience Criteria is value for experiencing		Sees self as creator of self Criteria is value for expanding self and life space
Orientation Toward Experiencing	Totally oriented toward responding		Things are dichotomies of good/bad, black/ white, right/ wrong		Things in "experience-owned" areas are a matter of opinion		Anything goes; it is only bad not to experience; all meaning is in present existence		A search for meaning, creation, wholeness or the identification of purposefulness
Nature of Learning	Animal conditioning		Animal conditioning and social reinforcement in terms of stereotypically defined relevance		Animal conditioning and social reinforcement in terms of relevance defined by stereotypes and opinions		Animal conditioning and social reinforcement in terms of value for experiencing		Animal conditioning and social reinforcement in terms of growth of self and world awareness
Most Important Conditions for Learning	Reinforcement, sanctions and practice		Congruence with stereotypes		Respect for opinions Right of selection from learning experiences offered		Experimental opportunities Feedback on experiemental consequences Protection from self-destruction		Right of negotiating conditions for learning experiences

Figure 1. The Possible Evolution of Social-Psychological Self

The Concepts of Human Worth, Dignity, Meaningful Failure and Freedom

It is now possible to be explicit about the highly valued, but generally undefined, concepts of human worth, human dignity and freedom. With operational definitions and competencies in the process areas provided by instructional systems being developed by the Northwest Regional Educational Laboratory, educators should be able to greatly improve their efforts to contribute to these ideals of American society. (Parnell, 1971)

Human Worth

Human worth can be measured as the individual's capabilities for contributing to the needs of one's self as well as to those of other people. Such needs for people are both animal and human using Maslow's hierarchical taxonomy. The initial worth of the individual is determined primarily by learning conditions which others provide. Evolution to advanced phases of social-psychological self gives individuals increasing capability to create conditions for themselves that enhance their own worth.

Human Dignity

Human dignity can be measured in terms of individual awareness, ability and acceptance of responsibility for making choices that create conditions to enhance one's worth. A person who has great human worth, all of it developed from conditions that he or she believes were controlled by others, will lack human dignity. He or she will be no more than a valuable slave unless capable of recognizing his or her own behavior as choices and criteria used to make choices. It is the awareness of capability and acceptance of responsibility for the meaning of choice in

behavior as it contributes to increasing and maintaining one's human worth that adds human dignity to the individual. According to the theoretical model which has been presented, the capability to recognize and be responsible for the factor of choice in behavior is a function of self-evolution.

It should be noted here that gaining a personalized understanding of the meaning of choice in one's behavior necessitates opportunities to experience failure, as well as success, in the outcomes that result from one's decisions. If others created conditions for an individual that assured nothing but successes, that individual would not have the opportunity to distinguish a meaning of choice as it affected outcomes. He or she would have no basis for establishing the boundaries of his or her current capabilities. It would be appropriate to help individuals avoid experiences of failure based on lack of readiness, or lack of relevance of an experience to them. It is, at the same time, critical to development toward achieving a "Creative" self that individuals have the freedom to experience failures and successes based on their own decision making. Recognition of the distinction between such personally meaningful failure necessary to the evolution of self, as contrasted to the other kinds of failure, is vital to educators who would implement values for human worth, dignity and freedom.

Freedom

Individual freedom is defined as the ability to make choices explicitly and the availability of alternatives. (Fingarette, 1965) To make choices explicitly, individuals must evolve to a

self which understands and accepts the meaning of choice in behavior. Being able to choose, influences one's feelings of worth and recognizes one's self-determined criteria for making choices. With this capability for freedom, society must provide the individual with opportunities to create and maintain a culture that includes explorations of values. Such explorations aid in the development of the criteria for making choices and the alternatives to determine the nature of one's self, life style and the living conditions in one's life space. He or she would, by definition, be a free human being.

Providing Conditions for Movement Along Developmental Dimensions

Therefore, to realize America's ideals of human worth, dignity and freedom, it is essential to provide conditions of learning which move individuals along dimensions of cognitive development, moral development and phases of self-evolution. In one sense, individuals learn best when conditions are congruent with their current cognitive stage, moral stage and phase of self. But, if the conditions for transition to the next phase are not also introduced whenever appropriate, the individual will be inhibited in his or her development of self.

In the past, American public schools have been preoccupied with academic achievement. This has contributed primarily to human worth while inadvertently maintaining many conditions that have inhibited self-development. With these clearer definitions, educators will be able to provide a better combination of conditions to maintain high academic achievement for human

worth along with experiences of decision making and other kinds of self-awareness which provide human dignity and freedom. The increased creative and destructive capabilities of recent cultural and technological advances in society make such improvement not only possible, but extremely important to the welfare of humankind. (Kubie, 1965; Moore and Anderson, 1969; Illich, 1971; Rogers and Stevens, 1967; Kohlberg, 1971b)

Current Needs and Changes of Society

The major characteristic of current American society is change. Toffler's book, *Future Shock*, (Toffler, 1970) dramatically documents many specific changes and the fact of general social change. Knowledge is increasing at geometric rates. People travel faster, farther and more often. More things are created, produced and consumed each year. Mass communication media proliferate awarenesses. McLuhan proposes that the medium, itself, has become the message. (McLuhan and Fidre, 1968) The behavioral and philosophical referents of the culture adults are experiencing are different from those of the culture they were born into. (Kariel, 1969) Our very understanding of the nature of change is being altered. (Bennis, 1969)

Static Change

The Nature of Change. Societies have experienced major changes in past historical periods. Evolutionary cultural and/or technological events have always impinged on the status quo societies. In Lewinian terms (Lewin, 1951), a society typically unfreezes under such pressure. It alters roles, organizational configurations or societal arrangements to take advantage of,

accommodate, insulate or isolate the effects of these events. Then it refreezes into a new status quo for decades or centuries until the next such event occurs. Gunpowder, the compass, Aristotelian logic, concepts of Christian relationships, mass production and digital computers represent such events.

Dynamic Change

The current period of change is different. Cultural/technological evolution has brought people to a stage of creative and destructive capability. For the immediate future, increasing rates of change will be continuous. We cannot expect to "refreeze" for decades or centuries into fixed roles, relationships or organizations. This time, people need to achieve a more fundamental kind of change. We must learn to understand life in dynamic, rather than static, ways. (Jung, 1971; Erikson, 1950; Erikson, 1959a) Lewin's concepts of dynamic, quasistationary equilibrium give people much more powerful ways to conceive of, and deal with, the forces in their lives than the more traditional "static" concepts of equilibrium.

The basic given of past philosophies, that ultimate creative and destructive powers are not in people's capability, is open to reinterpretation. A new level of understanding of what it means to be alive is demanded. An error can now mean total destruction. Progress will mean continuous pluralistic life styles, with increasing creative interaction of differences as people, ultimately, populate the entire universe. We will move beyond the value for merely tolerating differences to a value for interdependence that recognizes how the interaction of differences generates the evolution of cultures.

New Kind of Person Needed

Some Implications of Current Societal Change. Society in the past needed individuals who could fit its relatively fixed roles and organizations. Society now needs individuals who can move in and out of roles, create new ones, operate organizations which continuously set new kinds of objectives and utilize new kinds of resources. It needs people who can retrieve and utilize new kinds of resources. It needs people who can retrieve and utilize changing knowledge to deal with evolving issues and problems. It needs people who can move in and out of relationships without losing the human meanings of relating. It needs human beings to move rapidly along the continuum of their social-psychological self-development so as to realize the advantages, and avoid the dangers, of today's capabilities.

American youth today are fundamentally different from those in any era of past history. (Erikson, 1970) Their philosophical perspective is imbued with the awareness of society's ultimate creative/destructive capabilities. (Kohlberg, 1971a) Their perceptions are bombarded with relativistic awarenesses. (Perry, 1970) They are thrust into existential dilemmas before having a chance to evolve beyond stereotypic and opinionated selves. They cannot avoid a questioning of values that perplexes their elders. They have more need of help, and receive less help from, adults than any generation in history. There are no adults who grew up in the kind of world which they face.

Polarized Conflict Between Youth and Adults

Between adult and youth populations, polarized conflicts, confusion and miscommunication tend to occur at a time when the need is for more and better ways of working together to explore these changing

meanings of human experience. (Schindler-Rainman, 1972) There has never been a time when adults could gain more from learning through exposure to the potentially exciting, relativistic perspective of youth. Adults must learn to maintain their adulthood while simultaneously entering into a kind of peer relationship with youth in the role of being learners. Each can learn ways to support the other, with special attributes to offer, in being learners.

Reactions of Today's Youth. When an adult's help is not available, today's youth are reacting with a range of alternatives. Some move ahead in perplexity. Some "cop out" in drugs or hedonistic efforts to escape their awareness and the responsibilities that it implies. (May, 1958) Many are breaking through to more advanced levels of self than past generations have achieved. For example, Perry found that entering Harvard freshmen in 1964 were one stage beyond freshmen of 1958 on the nine stage dimension of his model. (Perry, 1970) Kohlberg's data show that this movement is occurring in cultures such as found in Turkey, Taiwan and the Yucatan peninsula of Mexico as well as in the United States. The developmental models are definitely valid across cultures. While the substantive orientations of individuals naturally vary, the dynamics are the same. (Kohlberg, 1971b) Some youth glimpse the creative ideal, but demand it from a stereotyped self-orientation. This latter orientation might well characterize today's "Yippie," who demands that everyone "be free" according to some stereotypic definition.

The Value Position of the Improving Teaching Competencies Program. If a free system is to endure (or, more accurately, finally be achieved) society needs these youth to achieve development of a Creative Self. The individual would then have the orientation of interdependence, shared responsibility and value for pluralism. The Improving Teaching Competencies Program takes the value position of advocating such achievement.

Adults who believe today's conflicts are essentially the same as those faced in the past contribute to destructive polarizations. Other adults acknowledge change but exhibit a response of immobilized ambivalance which Lippitt suggest is a form of internalized polarization. (Lippitt, 1972a) All the usual problems of adolescence are added to the differences of perspective between stereotypic and opinionated adults attempting to deal with youth who are moving toward existential and creative selves. Such adults not only can't help the youth, they fear them and fight them as they misinterpret their behavior. Kohlberg reports that, while increasing numbers of youth are moving to advanced stages of "moral" development, most teachers are only in stages three or four, and only ten percent have reached the final sixth stage. He further reports that an individual who stays fixed in a stage for too many years loses the capability of moving to the next stage. (Kohlberg, 1971c)

Lag Time between Cultural Evolution, Individual Self-Development and Societal Transition. This is a time of frightfully difficult societal transition. Culture and technology have achieved ultimate destructive and creative kinds of potential. For

the first time in history, large numbers of individuals are developing to existential and creative selves, while others withdraw into depersonalization which they correspondingly attempt to force on those who look to them for support in growth. American society as a whole is on the threshold of moving out of an "opinionated" orientation and into an existential one. It's a once in a millenium transition which might result in achieving a new level of creativity in human affairs. The existential society becomes free to transact experiences which open new realms of human potential. But, as with the individual Existential Self, society might self-destruct during such a period of transactional relativism. As we attempt major strides and sometimes appear to fail (e.g., politico-economic programs of the "great society") we may lose faith in our potential and create destructive backlashes. There is a "lag time" as the anthropologists would say, between rates of movement on the dimensions of cultural/technological evolution, the evolution of advanced self-development of individuals and changes in society. Figure 2 illustrates this "lag time."

Society might also self-destruct by going on binges of overemphasizing areas of creative capability. Scarce resources might be exhausted to explore this solar system when they should be reserved for reaching other solar systems. Human concern may be focused on the conduct of war and result in blowing ourselves up before a concern for human relationships could antiquate the need for wars. Power plants may be constructed that release irreversible chains of pollution before we know enough to realize what we are doing.

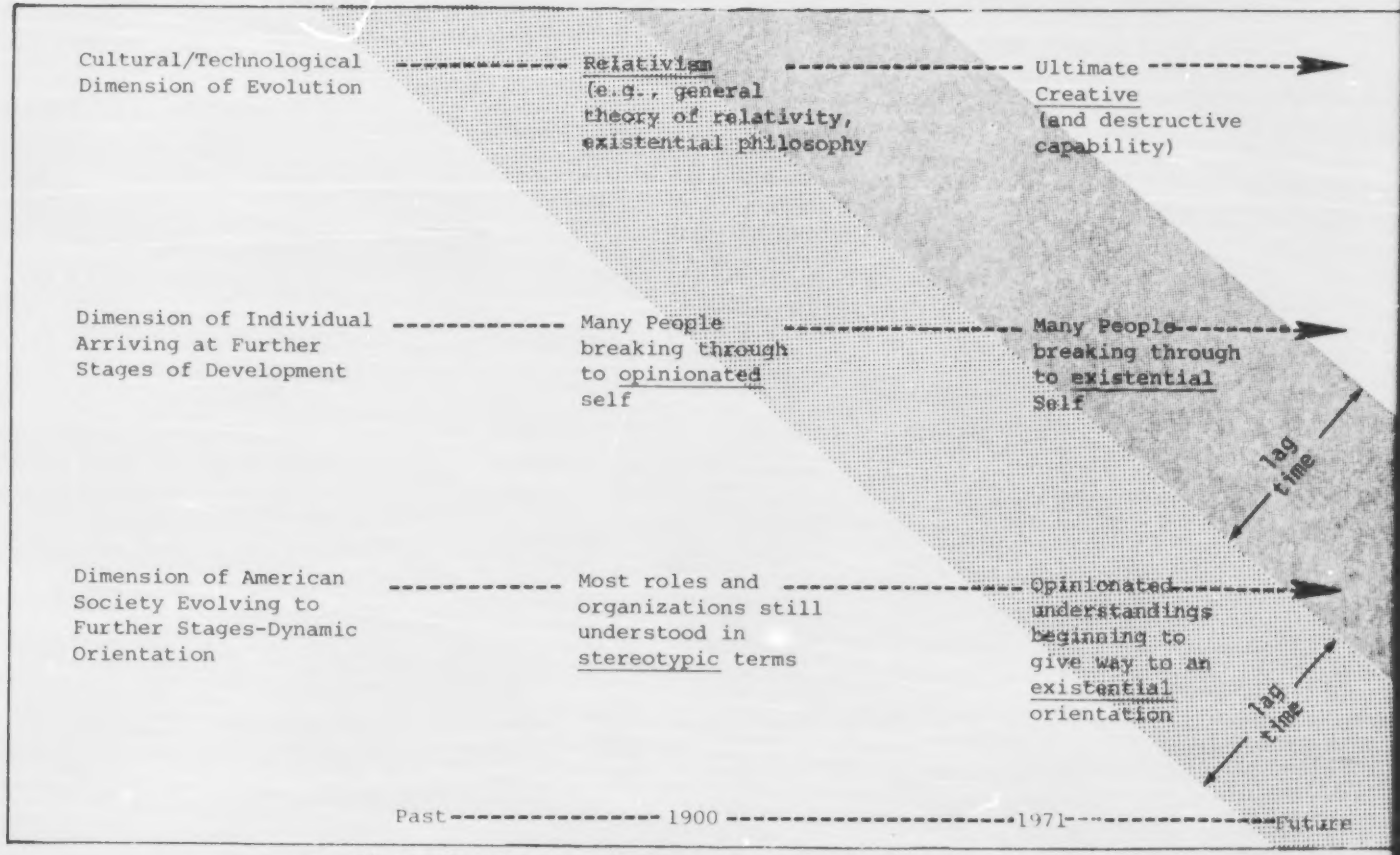

Cultural/Technological Dimension of Evolution
Relativism (e.g., general theory of relativity, existential philosophy
Ultimate Creative (and destructive capability)
Dimension of Individual Arriving at Further Stages of Development
Many People breaking through to opinionated self
Many People breaking through to existential Self
lag time
Dimension of American Society Evolving to Further Stages-Dynamic Orientation
Most roles and organizations still understood in stereotypic terms
Opinionated understandings beginning to give way to an existential orientation
lag time
Past
1900
1971
Future

Figure 2: The Lag Time Between Dimensions of Evolution

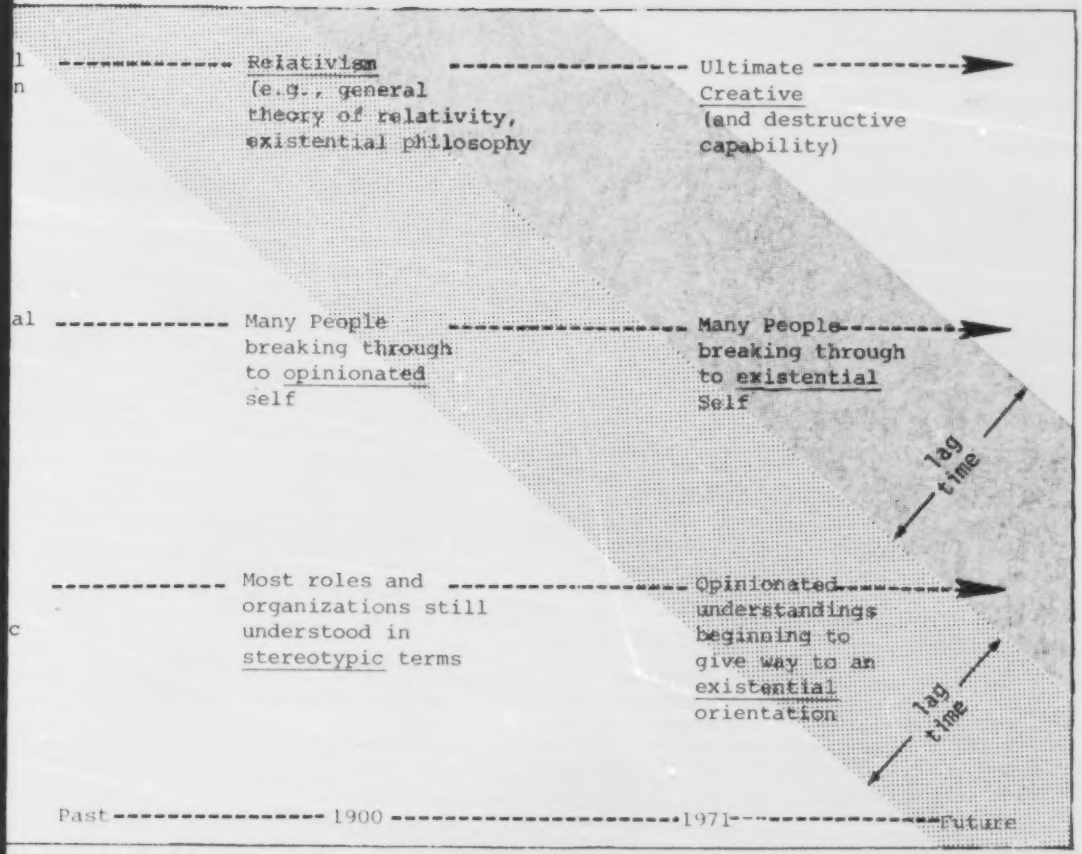


Figure 2: The Lag Time Between Dimensions of Evolution

These are dangerous, as well as exciting times. They dictate certain needs that society is only beginning to recognize.

Some Current Needs. Lippitt and Schindler-Rainman speak of a need for greatly increased intrapersonal and interpersonal interactions and linkages. (Lippitt, 1972a; Schindler-Rainman, 1972) They say individuals need skills, ways to make action commitments, and ways to relate to their selves which provide a sense of potency in their lives. They note that, beyond achieving awareness of alternative responses, individuals need to gain awareness of how to take advantage of using alternative resources and the awareness of their personal potential for having influence in their world. They include the need for school systems to become more interdependent with all community resources. They join others such as Miles in identifying a need for increased "problem solving adequacy" (Miles, 1965) and increased teamwork versus the tendency toward provincialism and drawing of destructive boundaries by those who fear change. They agree with Mead (Mead, 1970) in believing that most adults need the security to see themselves as "pilgrims" in this new kind of world. Adults must look toward a kind of "peership" with youth in learning new ways to create meaning in life.

Need for Increased Problem Solving Adequacy

Needs Society Has for Its Public Schools. The purpose of a system of public education is to maintain society and assure that each member can gain competencies to achieve a desired role within the limits of his or her abilities. Considering all that has been presented from the perspective of the value position taken by the

Improving Teaching Competencies Program of the Northwest Regional Educational Laboratory, the following list of needs has been identified that society has for its public schools.

Societal School Needs

1. Assure that each student achieves those minimal knowledge, skill and attitudinal competencies necessary to become a participating, contributing member of society

2. Individualize learning experiences in terms of readiness so as to maximize efficiency of development of each student's human worth

3. Provide learning of knowledge and skills that is reasonably up to date

4. Assure that each student, according to his or her own abilities and personal style, learns how to be an effective, continuous learner

5. Personalize learning experiences in terms of relevance so as to contribute to each student's social-psychological self-development and achievement of human dignity

6. Assure that each student becomes aware of, and skillful in, selecting the behaviors used to derive personal meaning for what he or she is learning

7. Take advantage of technological advances as it is economically feasible to acquire them

8. Support teachers in flexible use of resources to individualize student learning experiences

9. Employ management procedures to use resources flexibly according to individualized need of student

10. Cooperate with community and home based learning opportunities as complementary to those provided in the school

11. Include new kinds of objectives in response to changing societal needs and utilize new kinds of resources in response to changing technological opportunities

12. Use educational resources to maximize learning alternatives consonant with economic efficiency so as to contribute to each student's learning the opportunities and responsibilities of human freedom

13. Be operated by educators with process competencies that define "dynamic" (Moore, 1969) human perspective which is the overall outcome their pupils need to achieve

The Derivation of the Improving Teaching Competencies Program

The Improving Teaching Competencies Program is derived from these areas of need which changes in American society and its youth have placed on the system of public education. The first three needs demand development efforts beyond the scope of the Program. They call for new materials to be produced, and related training provided for educators, as new knowledge and technological resources emerge throughout the foreseeable future. Educators will always need to be learning, and relearning, new knowledge and ways to present it.

The last ten needs call for educators to gain competencies in areas of procedural skills. These will bring fundamental improvements in the ways schools are operated. Once these process skills are mastered, the educator will not need to be continuously learning in these areas. His or her school will be able to change to more dynamic operating procedures and to

maintain them. There appear to be six areas of these process skills concerning the ways educators:

Areas of Process Skills

1. Can help students to become active, responsible learners

2. Can interact face-to-face with pupils to support student learning efforts such as making personal meaning out of experience as well as recognizing their own styles for doing this so students can be responsible for improving their own efforts

3. Can use the different problem solving processes appropriate to achieving improvements that are technical, theoretical or philosophical

4. Can work interpersonally in effective and efficient teamwork relationships

5. Work in or with the school staff to help it achieve organizational functioning which supports use of the other areas of procedural skills; evidence indicates that such help is essential to the kinds of needs and improvements that have been identified

6. Can plan to use their process competencies, once acquired, to utilize locally available resources to best meet unique local needs and desires

Chapter II: Understanding the Organization as a System

Chapter II

People probably misunderstand things that happen in organizations most frequently because they fail to view them in their larger context. It's the old problem of failing to see the forest for the trees. Another analogy would be a forest where the elimination of one life form has serious consequences to other life forms as the ecological balance of the system is upset. Like a forest, any organization is a system of interdependent parts. When viewed as such, otherwise perplexing problems begin to make sense. A major contribution of many organizational development consultants comes from the ability to help clients understand their organizations as systems.

Definitions and Concepts of Systems

A system has two or more parts that function individually and in relation to each other to realize a purpose. Thus, the circulatory "system" in a person includes the heart, arteries, capillaries and veins whose collective purpose is to move blood through other systems of the body. If we took away any one of these parts, the purpose of moving blood through the body could not be realized. It is the interdependence of functioning needed to realize the purpose which defines parts which are included within a particular system.

Any part of a system which is, itself, made up of parts, is a system within the larger system. It is a subsystem of the larger system. Thus, the universe is made up of many levels of systems within larger systems. For example, the circulatory system and the digestive system are both subsystems of the human body which is a system. Although they serve different purposes, these subsystems have some direct influence on each other as well as being indirectly dependent on each other for survival of the body to which they belong.

Main concepts include systems, subsystems, levels of systems and parts interdependent in providing a common purpose. Subsystems have an effect upon each other. In turn, any one of them affects the existence of the larger system to which they belong. These are central concepts in understanding and helping an organization move toward a desired purpose.

Human Systems

A *human* system is defined as *one or more persons whose functions are operating interdependently for the purpose of providing growth in expression of individual needs* as defined by Maslow. Maslow (1954) identified needs which are distinctly human as being in a hierarchy which can emerge for the individual through his interactions with others. The form these needs take and the extent to which they emerge is determined by the individual's hereditary uniqueness, the particular culture one is a part of and the nature of one's interactions with others. As the individual moves toward a total range of human awareness, his or her needs expand through the hierarchy of those which are physiological, safety, love and belonging, self-esteem, self-actualization, cognitive and aesthetic. Once again, *systems are human to the extent they provide for individual growth in awareness and expression of this hierarchy of needs.*

The diagnostic matrix of human systems (Pino, 1976) includes the individual, dyadic relationships that develop between pairs of individuals, small groups, organizations, communities and societies. People have used unique capabilities to develop the higher levels of human systems which in turn have supported evolution of the higher levels of human needs. By creating organizations, communities and

societies, the conditions have been protected by which a system grows and new levels of potential gradually have evolved toward which a system can grow.

Growth, Evolution and Maturation of Human Systems

Three concepts have major importance in organizational development work. The first is simply the concept of growth. A human system, at any level, goes through rather predictable stages from the time it is formed until it dies or is ended. For example, Gordon Lippitt (1969) describes typical stages in the life cycle of an organization just as developmental psychologists such as Erik Erikson (1950) have described them for the individual. As it grows, a human system can add continuously to the number and balance of functions it can provide itself. It moves through stages such as birth, infancy, childhood, adolescence, adulthood, middlescence, old age, senility and death. (See Figure 3)

The second concept concerns evolution. Each human system appears to be evolving through similar kinds of phases, but at different rates. These phases have to do with the system's way of understanding its own identity, or its "self," and its corresponding way of experiencing the world around it. It can change in the characteristic way it functions. People have evolved from an animal kind of awareness in which individuals simply react to internal feelings of need and the stimuli encountered directly in their world. A new kind of identity and way of experiencing was introduced with early societies. People began to understand themselves in terms of simple, stereotypic roles they expected each other to fulfill. As societies became nations, differences of experience became recognizable and formed the basis for a more complicated kind of identity. Recognition of individual, personal kinds of experience led to an opinionated way of experiencing one's world. In the past century, technology has brought the awareness of cross cultural, relativistic ways of experiencing the world. This has introduced a self-understanding that takes one beyond the limits of stereotypes and opinions. It is both a freer and more confusing way to experience. It has been labeled existentialism. The stage of evolution that humanity seems currently

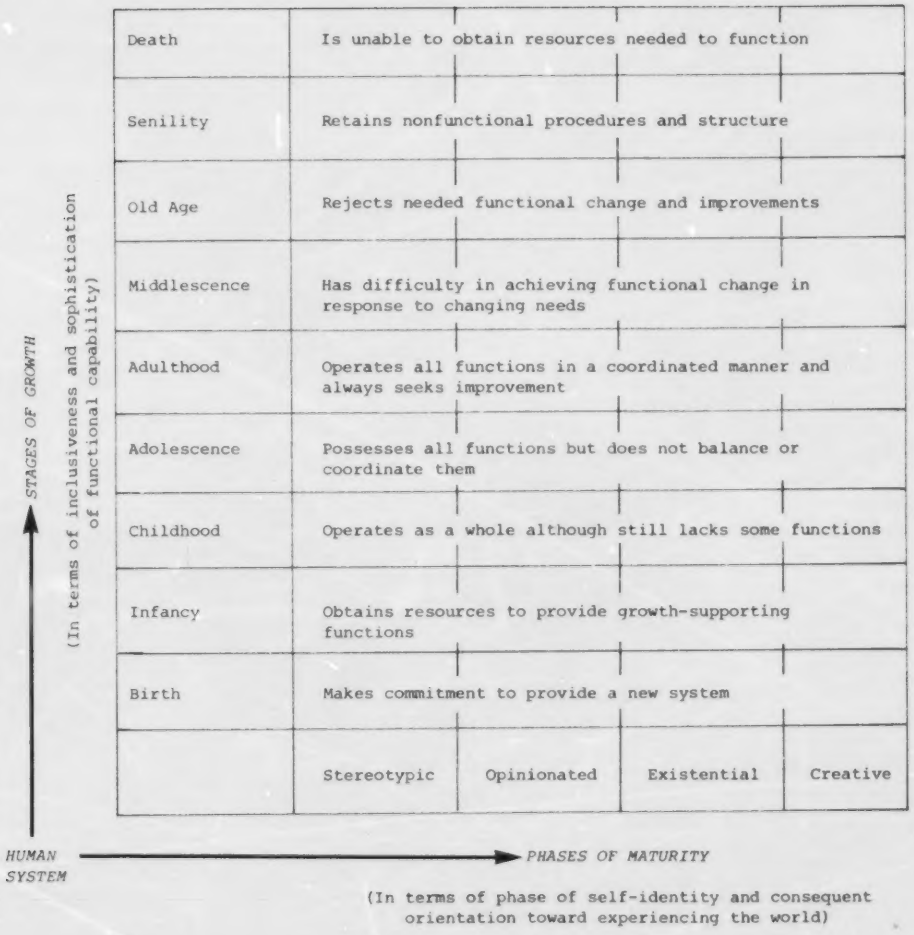

Death
Is unable to obtain resources needed to function
Senility
Retains nonfunctional procedures and structure
Old Age
Rejects needed functional change and improvements
Middlescence
Has difficulty in achieving functional change in response to changing needs
Adulthood
Operates all functions in a coordinated manner and always seeks improvement
Adolescence
Possesses all functions but does not balance or coordinate them
Childhood
Operates as a whole although still lacks some functions
Infancy
Obtains resources to provide growth-supporting functions
Birth
Makes commitment to provide a new system
Stereotypic
Opinionated
Existential
Creative
STAGES OF GROWTH
(In terms of inclusiveness and sophistication of functional capability)
HUMAN SYSTEM
PHASES OF MATURITY
(In terms of phase of self-identity and consequent orientation toward experiencing the world)

Figure 3. Growth and Maturity Possibilities For a Human System: Description of Growth Stages

moving into is characterized by ultimate kinds of creative and destructive capabilities. It makes possible, and necessary, an ultimate acceptance of responsibility for what individuals let themselves become and the effects they have on the world around them.

In summary, these evolutionary phases of human understanding are *animal, stereotypic, opinionated, existential* and *creative*. This appears to be a period of major evolutionary transition. For the first time, large numbers of people, especially youth, are struggling with existential awarenesses and headed toward creative orientation and responsibility. (Miles, 1964) Human systems at the level of societies still tend to be working at the transition from a stereotypic to an opinionated phase in many parts of the world. This is expressed as nationalism and polarized arguments about whose political and economic systems are best. By comparison, American society seems on the verge of moving into an existential period in which many things are reexamined and revalued depending on continuously changing conditions. It is a period of increased freedom and excitement as well as increased confusion and very real dangers. The dangers stem from the possibilities of reactionary destructiveness as well as possibilities of moral disintegration in a period of open testing. (See Figure 4)

The third concept vital to organizatonal development work is the concept of maturation. A human system can grow through the stages of a life cycle. It may also mature through the evolutionary phases of changing its understanding of itself, its orientation and functioning in its world. *The point is that maturity involves something more than growth.* A person can grow to adulthood and old age without maturing past a stereotypic phase of experiencing. Maturity for a human system means movement along the path of growing awareness of life's meanings that have been evolving for thousands of years. It means corresponding change in the characteristic ways functions are performed.

These three concepts of growth, evolution and maturity will be central to the examination of ways an educational training consultant can facilitate organizational development.

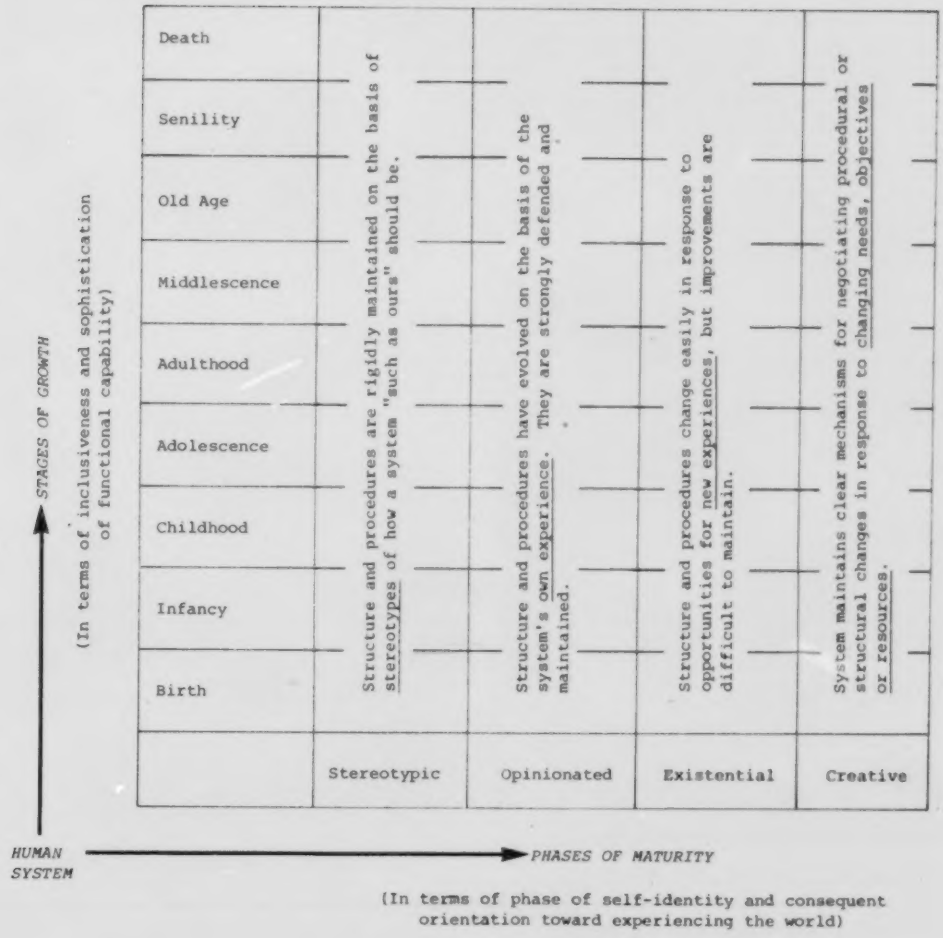

Death
Senility
Old Age
Middlescence
Adulthood
Adolescence
Childhood
Infancy
Birth
STAGES OF GROWTH
(In terms of inclusiveness and sophistication of functional capability)
Structure and procedures are rigidly maintained on the basis of stereotypes of how a system "such as ours" should be.
Structure and procedures have evolved on the basis of the system's own experience. They are strongly defended and maintained.
Structure and procedures change easily in response to opportunities for new experiences, but improvements are difficult to maintain.
System maintains clear mechanisms for negotiating procedural or structural changes in response to changing needs, objectives or resources.
Stereotypic
Opinionated
Existential
Creative
HUMAN SYSTEM
PHASES OF MATURITY
(In terms of phase of self-identity and consequent orientation toward experiencing the world)

Figure 4. Growth and Maturity Possibilities For a Human System: Description of Maturity Phases

Characteristics of Key Functions

The organizational development consultant works with a client to achieve and maintain improved functional capability of the organization. Sometimes the best course of action for the consultant is to limit his or her work to affecting the growth of the organization. For example, a functional capability such as planning may need to be added. This may be done best in line with the characteristics of existing functional capabilities of the organization which indicate its current stage of maturity. At other times, the work can best attempt to change the maturity of the organization by changing the characteristics of an area of functional capability. For example, it may involve training of roles in more sophisticated forms of planning. The change may include achievement of shared norms for advanced forms of planning with increased involvements of different parts of the system using skills appropriate to their different roles.

Organizational development projects generally have some effects on both the growth (balance of functional capabilities) and maturity (characteristics of the forms of functional capability) of an organization. Ability to diagnose the organization's balance of functional capability may be the single most critical factor in the success of an organizational development consultant's efforts. In simple terms, *diagnosing growth and maturity involves recognizing where the client is, what the client is and is not likely to be ready for, and making intervention plans based on this diagnosis.*

Diagnosis and Organizational Readiness for Change

Diagnosis of an organization's growth and maturity may indicate its readiness for incorporating new kinds of objectives and resources. The position taken by the authors of PETC-III is that there are seventeen key functions an organization must achieve in order to reach the point of advanced maturity where it can provide for its own continuous growth and maturational evolution. Figure 5, pages 57-63, presents a description of these key functions at each of the four phases of organizational maturity.

Importance of Analyzing Key Functions

While these seventeen functions are proposed as key to the organization providing for its own growth and maturity, it is not meant to be implied that other functions are unimportant. In working with a particular organization at a given time, the consultant may need to be effecting changes in some functions other than the key one. However, the diagnosis of the maturity of the organization is strengthened by including some careful analysis of characteristics of these seventeen functions.

By the way, the model of organizational maturity referred to here is meant to be compatible with and complementary to Rensis Likert's presentation in *New Patterns of Management*. (1961) In addition, the consultant should become familiar with Likert's recent work on assessing profiles of schools in terms of his model. Instruments for conducting such objective diagnostic assessment are available from Rensis Likert Associates, City Center Building, Ann Arbor, Michigan. Other models and instruments from the work of persons such as Argyris, Blake and Mouton, G. Lippitt, Schmuck, Runkel and Miles should also be considered. A bibliogrpahy is offered at the end of this book.

Function	Phases of Maturity			
Problem Solving Adequacy	Stereotypic	Opinionated	Existential	Creative
Technical Problem Solving	Technical problems dealt with according to tradition and authoritarian decree Technical analysis and planning are not generally conceived by individuals as a logical process Low level of data objectivity exists	Some part of organization uses explicit system technology process to deal with some technical issues Other parts deal with technical issues according to experience or opinion System technology sometimes applied to wrong kinds of issues Shared understanding and norms for application lacking Variable data objectivity exists	Different parts of organization use different system technology procedures without shared knowledge of differences Consequent lack of norms for coordinated effect on purpose or differentiated application in terms of issue Data objectivity limited by restricted perceptions	Parts use shared, explicit system technology process with skills appropriate to one's role Norms support use of technical problem solving with explicit differentiation and relation to other kinds of logical problem solving processes Some roles and structure provide specialist expertise High level of data objectivity exists
Theoretical Problem Solving	Theoretical issues dealt with according to prejudged stereotypes Action research not conceived of as logical process Power of theoretical models is unrecognized Problem solving oriented toward traditions rather than solution Facts are sought to support standard practice Low level of data objectivity exists	Some part of organization uses explicit action research process to deal with some theoretical issues Other parts deal with theoretical issues according to experience or opinion Action research may sometimes be applied to wrong kinds of issues Shared understanding lacking for action research process and norms for its application Variable data objectivity exists	Different parts of organization use different action research procedures without shared knowledge of differences Consequent lack of norms for coordinated effect on purpose or differentiated application in terms of issue Data objectivity limited by restricted perceptions	Parts use shared, explicit action research process with skills appropriate to one's role Norms support use of theoretical problem solving with explicit differentiation and relation to other kinds of logical problem solving processes Some roles and structure provide specialist expertise High level of data objectivity exists
Philosophical Problem Solving	Philosophical issues not generally recognized as such Philosophical issues are ignored, denied or redefined as traditional issues with predetermined resolution Conflict and negotiation are not conceived as a logical process Data objectivity is not considered in terms of differing self-interests	Some conflict acknowledged with some parts of organization using explicit negotiations process Little understanding of philosophical basis of conflict exists Process applied with explicit assumptions of eliminating issues, antagonists or power Shared understanding and norms for application lacking Problem solving may be applied to wrong kinds of issues Variable data objectivity exists	Different parts of organization use different negotiations procedures without shared knowledge of the differences Consequent lack of norms for coordinated effect on purpose or differentiated application in terms of issue Philosophical basis understood for confronting conflict and negotiating to manage it Norms exist for confronting conflict and negotiating to manage it Data objectivity limited by restricted perceptions	Parts use shared, explicit negotiations process with skills appropriate to one's role Norms support use of philosophical problem solving with explicit differentiation and relation to other kinds of logical problem solving processes Some roles and structure provide specialist expertise High level of data objectivity exists

Figure 5: Functional Capabilities of Educational Organizations for Continuous Growth

Figure 5

Function	Phases of Maturity			
Problem Solving Adequacy	Stereotypic	Opinionated	Existential	Creative
Needs/Opportunities Assessing	Needs or opportunities are generally considered only in relation to given, often implicit, objectives Techniques may exist for assessing needs within these givens, but no explicit process exists for assessing overall organizational needs from any given kind of problem perspective, much less a differential one Low level of data objectivity exists Needs are defined on a superficial or symptom level	Some part of organization occasionally uses an explicit needs assessment procedure limited to one kind of problem orientation, most often technical or theoretical Such procedures generally relate to given kinds of objectives and resources rather than raising consideration of new ones Variable data objectivity exists	Different parts of organization use different needs assessment procedures with differing emphasis toward one or another kind of issue and problem solving procedure Some openness exists to new kinds of objectives and resources Data objectively limited by restricted perceptions	Parts use shared explicit needs assessment process with skills appropriate to one's role Norms support use of assessment by maintaining review of objectives, resources and appropriate relationship of kinds of problem solving efforts Some roles and structure provide specialist expertise High level of data objectivity exists Assessment process seeks new kinds of objectives and resources to better fulfill organization's purpose
Managing Adequacy	Stereotypic	Opinionated	Existential	Creative
Coordinating	Coordination occurs sporadically in the form of directives from persons in top roles of each level of the administrative hierarchy An assumption (often implicit) exists that organizational structure, along with formal policies and procedures, are sufficient to provide for all coordinative needs People are expected to know and do their jobs in unchanging ways and in an unchanging world Once a "proper" pattern is set, it is not expected to change If it becomes apparent that changes in coordination are necessary, structure, personnel or conditions are generally provided as part of the solution Coordination is not recognized as an ongoing procedural issue	Coordination efforts occur repeatedly in different parts and levels of the organization An explicit assumption exists that structure, policies and procedures need to be repeatedly altered to provide coordination Coordination needs are brought to the attention of superiors in the hierarchy who are responsible for making alterations Problems, new objectives or new opportunities are expected to redirect people's efforts Need recognized for some procedural skills to make changes to improve coordination Conception of providing coordination as a part of continuous planning and problem solving processes does not exist generally throughout the organization	Coordination occurs continuously within most parts of the organization, but does not exist in an integrated way across the organization as a whole Different kinds of problem solving processes exist sometimes involving differing levels of capabilities which may predominate in coordinating efforts of different parts of the organization Many kinds of coordinating efforts present, but poorly coordinated with each other Coordination efforts for the organization as a whole may be initiated by many parts at various times, but response may be mixed, conflicting or lacking from other parts	Coordination occurs as a part of continuous planning and problem solving processes within and among all parts of the organization Structure seen as supportive to coordination (e.g., "link pin" roles, role representatives in decision making groups) rather than providing it (e.g., "everyone should know and follow the orders of the boss of their unit") Individuals with expertise and responsibility for implementation on any particular issue are accepted by others in taking temporary coordinative leadership responsibility Anyone who identifies a need for coordination initiates a problem solving process to respond Explicit norm operates so everyone shares responsibility for maintaining good coordination

Figure 5

Function	Phases of Maturity			
Managing Adequacy	Stereotypic	Opinionated	Existential	Creative
Communicating				
Content	Content is ritualistic, routine, repetitive, redundant Much information not shared, especially concerning values, decision making or conflict-generating issues Content emphasizes who, what and when	Communication routine and ritualistic Some sharing exists about decision making, goals, procedures, accomplishments and barriers Some sharing present about policy	Communication is routine, with short-lived rituals Content focuses on current innovations of how and why as well as who, what and when Content emphasizes values and directions of effort as well as the efforts themselves	Some communication is routine and ritualistic Periods of "silence" evident Some sharing exists about implications related to purpose as well as achievement Content shared about the system as an end as well as a means
Directionality	Communication generally initiated from the top down Communication exists mostly vertically within subparts Upward initiations are of a positive nature	Directions come from top down Suggestions, and sometimes demands, sent upward Horizontal communication exists as well as vertical within subparts Occasional feedback loops used	Communication initiated from any part of system Communication not always well targeted for relevance Much "noise" exists in the system Feedback loops present	Communication initiated from any part of the system Communication targeted to relevant others, horizontally and vertically, positive and negative Clear feedback loops exist
Structure	Formal structure exists Subparts unrepresented in structure Linking roles or techniques lacking among subgroups Secretive informal "grapevine" is strong	Formal communication exists across subparts Informal communication used within subparts Some representativeness, but linkages are mostly vertical and near top of hierarchical structure Fairly open "grapevine" exists	Structure is mostly informal Vertical linkages present throughout structure, but lacking possible horizontal ones	Knowledge and access is shared concerning both formal and informal means Both vertical and horizontal linkages exist
Purpose	Communication designed to control activity and fulfill routines	Communication limited to providing directions and information to clarify meaning	Communication used to clarify meaning Ideas are sought and shared Occasional feedback exchanged	Communication is used to seek meanings and generate alternatives Communication used to maintain a guiding system of feedback
Quality	Communication is closed and inaccurate	Communication guarded except within subparts Significant areas of inaccuracy exist	Openness exists across some subparts Communication is generally accurate Some spontaneity exists	Openness to communication present both within and among subparts High accuracy and much spontaneity exists

Figure 5

Function	Phases of Maturity			
Managing Adequacy	Stereotypic	Opinionated	Existential	Creative
Structuring	Fixed, hierarchical structure maintained by unquestioned tradition and assumptions New roles or structured change are top policy and administrative concern since they are viewed as embodying the identity of the organization	"Line and staff" differences are common Changes of roles, individuals in roles and subparts are common way to respond to problems Little attention paid to related changes in policy, procedures or outcomes New structure endures to extent it contributes to centrally defined objectives	Structure is decentralized, with continuous alterations of grouping and occasional birth or death of a subpart Major divisions last a relatively long time, depending on their independent success	Functional matrix orientation provides organizing temporary subsystems to accomplish tasks appropriate to purpose A structured capability is maintained to fulfill its purpose but maintaining any particular structure for itself is not valued Structuring is both proactive and reactive as kinds of objectives and resources change since identity is a commitment to purpose other than structure
Influencing	Most procedures and criteria are implicit Power in the system is likely to be seen as low and unequal Much "reward" power and "coercive" power used	Some procedures and criteria are explicit Power may be high, but most likely seen as unequal among roles and among subparts Much interpersonal "referent" power is mixed with other kinds	Procedures and criteria are explicated repeatedly within subparts Power levels and equalization may vary among subparts	Variety of procedures and criteria are explicit Power in the system is high and widely equalized within and among subparts Power uses experienced as appropriate, though variable in relation to kinds of problem situations
Decision Making	According to tradition Decisions made by high-level authority roles Criteria used are mostly implicit Major decisions made high in the hierarchy Most persons accept task decisions as predetermined by their role definition	Decisions made by authority roles throughout the system Decisions made according to fairly explicit policies and procedures determined at high authority levels Many routine task decisions made at level of implementation	Decision making is diffused to subparts of the system for most issues Procedures for decision making vary among subparts Policies frequently questioned and excepted Many task decisions, exploratory and innovative as well as routine, are made at level of implementation	Decisions made by differential role, functional responsibility Decisions made explicit in some form of task/decision matrix Decisions tend to be made by implementers and those with "legitimate" or "expert" power Frequent decisions about decision making by those affected and/or responsible
Rewarding	Rewards are extrinsic Rewards serve to maintain roles, status differences, structure and procedures Rewards used mostly for implicitly understood role/task performance and achievements	Rewards are extrinsic for most roles but also intrinsic for roles high in hierarchy Rewards serve mostly to maintain status quo of system Rewards used for goal achievement and functional performance	Rewards are intrinsic and extrinsic Rewards sometimes contradict or conflict among subparts of system Rewards serve to induce change and innovation Rewards used for innovation as well as goal achievement and functional performance	Rewards vary intrinsically and extrinsically in relation to individual differences, but influences towards self-actualization Rewards serve to maintain high productivity and openness to changes that improve the system's fulfillment of purpose Rewards used for explicating meaning as well as other accomplishments

Figure 5

Function	Phases of Maturity			
Supporting Personal and Professional Growth	Stereotypic	Opinionated	Existential	Creative
Providing Learning Resources	Organization unlikely to provide resources for learning of individuals except when imposing introduction to new procedures Released time or other learning resources not supported as legitimized part of most roles When learning is supported, resources outside the organization are used	Organization provides some resources for learning on a fairly regular basis Occasional upgrading of job capabilities is expected Some release time, flow of formal information, provision for involvement in demonstrations and collegial sharing supported Some internal inservice training roles and events provided as well as use of external resources	Organization provides high level of resources for learning, for strengthening functional capabilities and especially for innovation and exploration Nature and emphasis of learning resources varies according to current "fads" Long-range planning or continuity lacking in provision of resources	Organization provides learning resources to continuously support organization's evolution and responsibility for all individuals to be continuous learners Time regularly built into all roles for various degrees of learning and training experiences Wide range of internal resources are available, plus clear procedures for access to external resources
Providing Performance Feedback	Performance reviewed in terms of fixed roles and tasks Individuals judged in terms of the demands of the role, irrespective of the appropriateness of their placement in a role Feedback tends to involve labeling the individual as "good" or "bad" rather than as having done something well or poorly More feedback is negative than positive Feedback is sporadic and unorganized Frequently indirect feedback used to direct behavior	Performance reviewed in terms of roles, tasks and, to some degree, accomplishment of objectives Feedback is often judgmental or interpretive Feedback provided in formal reviews according to forms Feedback given for direction and control more than to support individual growth	Performance reviewed in terms of professional and personal growth in relation to achievement of objectives and innovativeness Feedback given generally to support growth and innovativeness Feedback often occurs spontaneously Feedback given mainly for direction, but may be recognized occasionally as a source of new perspective	Performance reviewed in terms of professional and personal growth Performance reviewed for applications of functional capability to work alone, and with others, to fulfill the purpose of the organization in evolving ways Feedback direct, spontaneous as well as planned Feedback follows generally accepted guidelines for purpose of supporting growth of the individual Feedback seen as a source for confrontation leading to new ways of understanding rather than simply providing guidance toward preset objectives
Training	Very little training exists other than to fit predefined role needs Individuals expected to come to job with capabilities that won't need to vary No ongoing program for job mobility or professional development	Some provisions made for training as a continuous function of the organization Training orientation aimed toward events to meet currently recognized needs allowing some mobility Training oriented toward changing role needs rather than professional development for individual growth and organizational evolution	High level of training present to support innovations and professional growth Training not clearly or well related to coordinated growth of the organization for fulfilling its purpose	Professional and personal development seen as ongoing function of the organization necessary for continuous evolution Growth of individuals is expected to result in their introducing relevant changes in the organization Organization is not simply oriented towards training individuals to meet its own need

Figure 5

Function	Phases of Maturity			
Supporting Personal and Professional Growth	Stereotypic	Opinionated	Existential	Creative
Confronting Apparent Discrepancies	Very little confronting takes place Discrepancies often are unrecognized Discrepancies are often unrecognized or, when recognized, often avoided Discrepancies are generally viewed as unusual departures from status quo which is considered normal Discrepant situations are seldom accepted as evidence of need for altering capabilities, resources, procedures or other aspects of organization	Some confronting present, mainly in areas clearly seen as affecting organizational performance or currently acknowledged social issues and new practices Organization fails to recognize, or ignores, discrepancies that could imply proactive, as compared to reactive, changes Once the discrepancies are legitimized, can lead to training, problem solving and other alterations of functional capability	Organization is very open to confrontation Confrontations lead to training in new capabilities or trail of innovations Attempts may be made to respond beyond the organization's readiness and/or beyond its purpose, involving high risk to health of the organization Resulting conflicts cause fluctations in openness to confrontation	Organization is always open to consider the relevance of apparent discrepancies in relation to fulfilling the purpose of the organization Discrepancies confronted selectively in terms of issue relevance and momentary readiness of the organization Seeks confrontation whenever able to be responsive as basis for ongoing professional development program and the organization's continuous evolution
Attributing Meaning to Experience	Stereotypic	Opinionated	Existential	Creative
Valuing	Things are valued in terms of role performance Things are good if they support what is traditionally expected and maintain the status quo Things are bad, or suspect, if they are new or threatening to the established goals and routine Stated ideals of goals and practice may vary widely from what actually occurs without awareness in the system of the contradictions Values are highly judgmental in tone	Things are valued in terms of functional capability and achievement of objectives without cirtical awareness of relationship to purpose or side effects Things are good if arrived at and desired internally Things experienced as good for the organization are presumed good for its purpose and the community, whereas outsiders might disagree Valuing of ends precludes attention to means Values are highly moralistic in tone	Things are valued in terms of exploration, innovation and discovery in addition to functional capability and achievement of objectives Things are presumed good until found otherwise Proliferation of goals and procedures are valued without necessarily relating to purpose Growth and change for their own sakes may be confused with purpose Values may be idealistic or seem nihilistic or amoral in tone	Things are valued in terms of values exploration and creative fulfillment of purpose Relation to purpose is primary factor in valuing Pluralism of outcomes in terms of human growth sought through a coordination of varied means Valuing varies in relation to kinds of problem situations Values tend to be exploratory and supportive in tone, rather than judgmental or moralistic

Figure 5

Function	Phases of Maturity			
Attributing Meaning to Experience	Stereotypic	Opinionated	Existential	Creative
Perceiving	Perceptions stem from perspective of role and structure Things understood in terms of previously experienced and prejudged categories If outside those categories, they tend to be misinterpreted, unseen or rejected as nonsense The overall viewpoint tends to be that prescribed by institutional norms which serve to dictate a non-discriminant acceptance of what is presumed to exist	Perceptions stem from perspective of functions and objectives Things are understood in terms of past and present normative experience of the system Things outside that experience acknowledged and either resisted as foreign or explored for the contribution they might make to the system's commitments The overall viewpoint tends to be provincial	Perceptions stem from perspective of commitment to creative exploration Things understood as either interpretable in terms of past experience or as offering possibilities to open up new ways of understanding A diverse range of ways to view replaces an overall viewpoint characteristic of the system	Perceptions stem from perspective of commitment to confrontation of value and implications vs. purpose Things are seen as understandable and/or challenging to the discovery of meaning Attention given to the extent perceptions are seen as relevant to purpose as presently understood, or as needing to be reexamined A diverse range of ways of perceiving is drawn upon according to the situation of the moment An overall viewpoint of cosmopolitan openness exists
Expressing Feelings	Feelings tend to be expressed only in traditional and ritualistic ways Such expressions often bear little relation to true affective states Under stress, expression of feelings is likely to take the form of pathological symptoms, such as increased absences, gossip, apathy in meetings or increased vandalism Overall climate seems reserved or artificial	Whereas rituals prevail for the expression of feelings, norms for some openness and spontaneity tend to group around areas of new endeavor and among subgroups where no conflict about them emerges Stress tends to convert expression of feelings to pathological symptoms, except where norms to the contrary are firmly established Overall climate seems lively, sometimes aggressive	Expression of feelings varies according to norms of subgroups Generally, a fairly high degree of openness and spontaneity exists In contrast to earlier phases, expression increases as feelings increase Feelings are not so apt to be converted to pathology Overall climate likely to be diverse and variable	General norms exist to support open expression of feelings, especially related to stress and success Expressions may appear less exaggerated as they are more normal than in earlier phases Persons are more likely to make direct declaration of feeling state rather than conversion to symptoms Overall climate of respect exists for affective needs and differences

As shown earlier in Figure 5, the seventeen functions fall into four categories. These are Problem Solving Adequacy, Managing Adequacy, Supporting Personal and Professional Growth, and Attributing Meaning to Experience. These four categories are elaborated upon in the following sections.

Problem Solving Adequacy

The *Problem Solving Adequacy* functions concern whether and how problems are recognized and dealt with. In immature systems there is little recognition of problems. There is lack of differentiation between kinds of problems as technical (How do we get from where we are to an operationally definable goal in the most cost/effective way?), theoretical (How do we objectively determine how and why things are happening as they are?), or philosophical (How do we negotiate basic differences of self-interest concerning where different parties want to go?). Mature systems have explicit procedures for assessing needs and opportunities in such differential terms. They have shared norms and sophisticated skills in using correspondingly appropriate problem solving procedures such as the Corrigan's *Systems Approach for Education* (1970), the NWREL version of action-research in *Research Utilizing Problem Solving* (Jung, 1973), and the NWREL version of *Social Conflict & Negotiative Problem Solving* (Groth, 1977).

Managing Adequacy

The *Managing Adequacy* functions are ones which especially concern personal and interpersonal factors defining the ways and extent to which people are able to work effectively together. It is presumed that other important

managing functions can't move toward advanced phases of maturity ahead of these key ones. Attempts to implement such advanced functions break down because of lack of basic teamwork capability. Combining peoples' efforts in an organization necessitates finding ways they can understand each other, agreeing to norms of influence, arriving at shared commitments in decision making and coordinating efforts in structures which support and provide appropriate rewards to them.

Supporting Personal and Professional Growth

The functions of *Supporting Personal and Professional Growth* tend to become increasingly important as an organization matures. These functions shift from ways an organization maintains its status quo to ways of enabling itself to be continuously evolving. In immature organizations, these particular growth supporting functions tend to be ignored or placed low on the hierarchical structure (e.g., there may be a small training department within the personnel division). Activity of this kind is viewed as an occasional means to an end. In a mature organization, building in and maintaining a high level of sophisticated capability in growth supporting functions is seen as an end in its own right. That is to say, a central objective becomes the process of being a continuously evolving enterprise to best fulfill the human purpose for which the organization exists.

A mature system recognizes its process as a major product in a world viewed as always becoming. Growth supporting functions in a mature organization are given continuous attention by all subparts and tend to be supported by high level roles and

structure. For example, there may be a vice president of professional, or organizational, development with linking committees throughout all divisions and levels of the system.

Attributing Meaning

The functions of *Attributing Meaning* concern the ways a system experiences and explains itself, its world and the relations of one to the other. An organization may give lip service to, and try to present itself as being mature in its valuing, perceiving and expression of feelings. Its actual performance of these three functions, however, is likely to be limited by its phases of maturity in the other key functions.

The functions of attributing meaning may be somewhat difficult to comprehend. People tend to take for granted their ways of making meaning out of experience. They find it difficult to fully appreciate that others can be experiencing the same situation differently. A teacher coming from a school where norms support and encourage sharing of innovative practices may feel shocked and confused in moving to one where the norms treat such sharing as stealing of others' ideas, as an indication of lack of imagination and integrity. Or, a principal who moved from a building where the norms supported free expression of both anger and joy as honest and valued behavior might run into great resistance and rejection upon acting in this manner with a new staff. A staff with no experience in open expression of feelings would likely misinterpret the principal's motive or assume he or she was emotionally unstable. Such a staff would be likely to hold implicit assumption that expression of one's feelings leads to destructive or vulnerable

behavior. They might resent a perceived implication in the principal's behavior that their norm of holding feelings back was being threatened.

A chart, similar to Figure 6, may be used to plot where different aspects of the organization are in terms of maturity of each function.

Application of Matrix to One's Own Organization

When assessing the maturity of an organization, one might expect some differences in phases between different key functions at any given time. For example, the organization may be a phase ahead in one kind of problem solving as compared to its development in using other kinds of problem solving. The functions of valuing, perceiving and expressing feelings are least likely to be at phases ahead of other key functions.

Study Figure 5, pages 57-63, by applying it to an organization you are well acquainted with. For each key function, which phase most nearly describes the maturity of the organization you have in mind? Remember, the figure is meant to apply to the total organization. If you are thinking of an organization that is large and complex, you will probably find it necessary to make some further distinctions as you work. For instance, you may wish to discern the maturity of <u>each of several divisions</u> of the organization before thinking about what this implies about the maturity of the total organization. Or, you may wish to determine the maturity of key individuals or subparts (groups) in the organization for each function. You may wish to distinguish the maturity of other community groups in relation to the educational organization with which you are working.

Categories	Functions	Phases			
		Stereotypic	Opinionated	Existential	Creative
Problem Solving	Technical Problem Solving				
	Theoretical Problem Solving				
	Philosophical Problem Solving				
	Needs/Opportunities Assessing				
Managing	Communicating				
	Structuring				
	Influencing				
	Decision Making				
	Rewarding				
	Coordinating				
Supporting Growth	Confronting Apparent Discrepancies				
	Training				
	Providing Learning Resources				
	Providing Performance Feedback				
Meaning	Valuing				
	Perceiving				
	Expressing Feelings				

Figure 6: Chart for Plotting Maturity of Each Function

Action Implications In OD Work

It may often be that making such distinctions will lead to the most helpful action implications in your organizational development work. For example, you may begin to help your client avoid working toward advanced forms of functional capability that its community is not yet capable of understanding or accepting. You may begin to see priorities for work on certain managing functions before moving too far ahead on kinds of problem solving. You may avoid the error of considering your client as generally having an advanced maturity in certain areas when it is really only some subparts of the client for whom this is true. Moving such advanced subparts ahead may precipitate disaster if other subparts are not brought more into balance first. As you review Figure 5, identify potential action implications for the organization you have in mind.

The Concept of Organizational Health

Two factors determine the health of an organization. The first concerns organizational purpose and effectiveness in relation to human needs. The second concerns organizational strength. Figure 7 illustrates these concerns.

Purpose and Effectiveness

An organization is healthy to the extent that its purpose supports the needs of human and, at the same time, provides an environment which is healthy for humans to be a part of.

The healthy organization prepares a product to meet a genuine need of human beings. In this day of growing consumer awareness, one finds

AN ORGANIZATION IS HEALTHY WHEN:

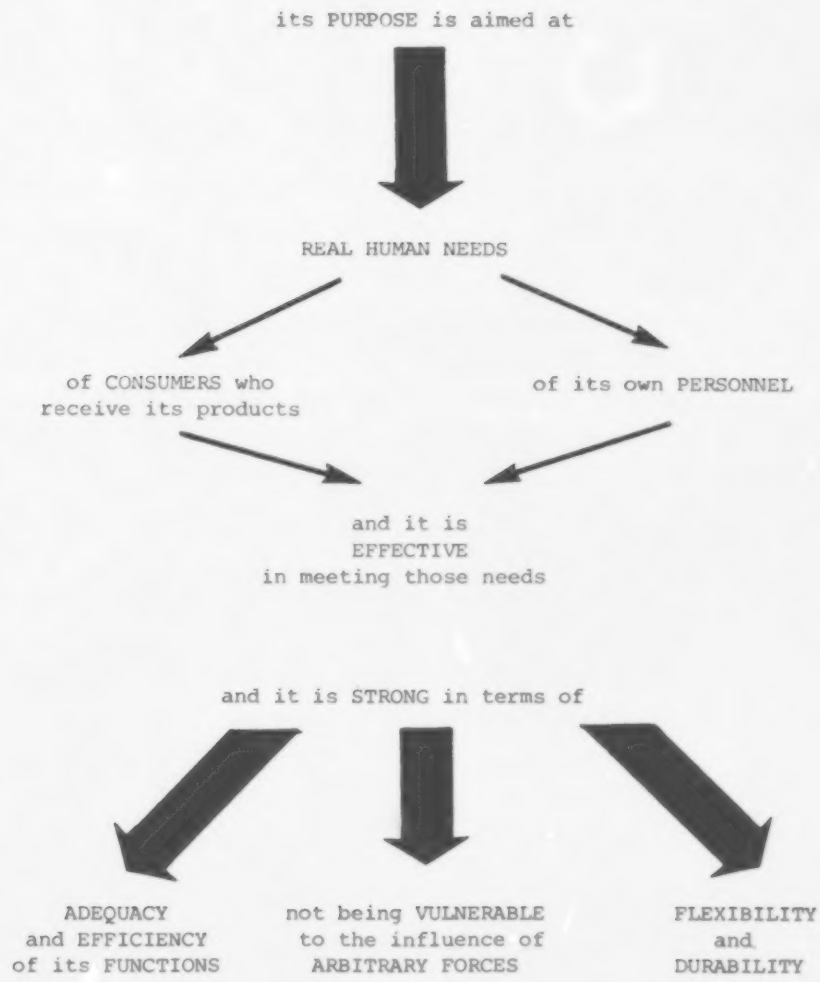

its PURPOSE is aimed at
REAL HUMAN NEEDS
of CONSUMERS who receive its products
of its own PERSONNEL
and it is EFFECTIVE in meeting those needs
and it is STRONG in terms of
ADEQUACY and EFFICIENCY of its FUNCTIONS
not being VULNERABLE to the influence of ARBITRARY FORCES
FLEXIBILITY and DURABILITY

Figure 7: Summary of the Organizational Health Concept

organizations trying to survive by convincing the public their products are needed when this is not really true. The health of such an organization must be considered precarious when it's possible that at any time the public might see through the false claims and refuse to provide further support.

An organization must be considered equally unhealthy when it fails to meet the motivational and morale needs of those who work in it. (McGregor, 1960) The more human people become, the more important it is to them that their contributions as members of the organization are meaningful and recognizable. The productivity and creativeness of employees in an organization generally relate directly to these factors. If the organization does not provide an environment worth living in, initial inefficiency and eventual ineffectiveness in realizing its purpose become inevitable.

An organization whose product meets valid human needs, and whose environment provides for the human needs of the individuals who operate it, may still be unhealthy because it lacks organizational strength. An organization is more than a collection of individuals. It is the way those individuals behave interdependently to realize the larger purpose of the organization. They must have a common commitment to that purpose, and combine their abilities in a coordinated way that can achieve that purpose. (Barnard, 1968) Organizations were invented to realize purposes larger than an individual could accomplish. Ten thousand individuals, each working in an entirely autonomous manner, could not have built a pyramid--or a space rocket. By combining and coordinating

the different, special talents of large numbers of people--by getting organized--the group provides a range of functions in a more sophisticated manner than any individual is capable of. People can thus achieve larger and more complex purposes through the formation of organizations which include a broad and complex range of functions.

Strength

An organization's strength is partly a matter of the adequacy of its functions in relation to its purpose. This idea of strength relates closely to the definition given earlier for the concept of "growth" of an organization. The "adult" organization was defined as one which has a full range of coordinated functional capabilities needed to achieve its purpose. Strength is partly defined as functional efficiency. An organization is strongest when it includes all the functions it needs for its purpose but no more than it needs. Further, it is strongest when each function is provided by the best operational characteristics (e.g., skills, procedures, norms, values, etc.) consistent with realistic requirements and constraints imposed by the larger community and societal context of which it is a part.

There is an obvious correlation between growth and strength. The "childish" organization lacks some functions and is thus weakened. The "adolescent" organization has not achieved the strength of balance among its functions. The "senile" organization is weakened by retaining functions it no longer needs and inefficient procedures for providing those functions. But, within any growth stage, there may be more or less strength of a function in terms of the efficiency with which it is provided. Also important is its contribution

to the current balance of functional efficiency for the organization as a whole.

The organization is also strong to the extent that it is not vulnerable to arbitrary forces which affect the quality of its product. Its environment for its members, its range of functional capabilities or its efficiency. Vulnerability which affects strength can also take the form of outsiders being able to enter the boundaries of the organizational system and affect its internal decision making at will. (Thompson, 1967) Although such entry can sometimes have positive results for a system, a system which cannot at least negotiate the entry of an external agent is open to a high risk of intentionally, or arbitrarily, destructive effects.

Flexibility and Durability

Finally, an organization is strong to the extent that it is flexible and durable. Flexibility and durability relate closely to the concept of maturity introduced earlier. An organization in the stereotypic phase of maturity has quite inflexible boundaries as well as ideas about what it should do and ways it should proceed.

It lasts only as long as these fixed ideas result in a product acceptable to its consumers. As an organization moves on to the Opinionated, Existential or Creative Phases of maturity, the different dynamics of boundaries and decision making represent increasing flexibility. The Existential Phase may present the greatest appearance of flexibility, but not the greatest durability. The orientation of openness to "try anything" of the Existential Phase can be self-destructive. It lacks ability to be flexible in pulling back from things if they appear to be a

mistake. It also lacks flexibility of rearranging and coordinating resources because subsystems within the organization tend to each go off in their own direction. The Phase II, Opinionated, organization may appear more durable, although less flexible, than the Phase III, Existential, organization.

The organization which reaches the fourth phase of maturity, the Creative Phase, has the greatest real flexibility and durability. It has the functional capability to identify new kinds of objectives and to change the kinds of resources it uses in realizing its purpose.

Public Education as a System in the United States

The total system of public education in the United States has many parts. Its dual purpose is to maintain society by preparing individuals to make the society function while, at the same time, facilitating unique growth of individuals to their maximum capabilities. When individuals and societies were mostly stereotypic and opinionated in orientation--when they saw life as static and accepted the status quo as the normal state of affairs--it was fairly simple for public education to realize its purpose. People learned from a relatively fixed body of knowledge to fill roles that were not expected to change during their lifetimes.

Now, this world is continuously changing and humanity has achieved ultimate kinds of creative and destructive capability. If public education is to retain its purpose of maintaining society, it will need to mobilize to become functionally dynamic in the way it operates as well as the way it helps American citizens move from a static to a dynamic state of living. These parts range from the legislative provisions and mandates that establish our system of public education, to the political processes which control it, and the many kinds of organizations that regulate and provide service. Such agencies include state departments of education, accrediting agencies, research and development

institutions, private corporations producing educational products, colleges and universities and local school districts.

On the local level, aspects of the community are a part of the total educational system. The community is a resource providing learning experiences, the constituency that elects the governing school board and votes a significant portion of operating funds, as parents who judge the adequacy of the school's product (learning and growth of their children) and as the students themselves who both receive the product and operate much of the school system as a learning (or nonlearning!) process.

Attempting to facilitate organizational development of public schools, to bring about improved functioning and maintain the improvements, will necessitate dealing with the interaction of forces among these many different parts of the larger system. Some of these forces, such as those concerning power and organizational politics or the concept of a multiple entry intervention strategy, will be discussed later in this volume. Many others concerning intergroup, interorganizational or community dynamics are important to know about, but go beyond the scope of this book.

The Organization as a Human System

The PETC-III training system focuses on functional improvement of the educational organization. The organization is a human system at a level between the small group and the community. Most of its subsystems are apt to be small groups, each of which provides one or more functions for the total organizational system different from the other subsystems. Organizations in American society are generally defined legally and registered as corporations. They are incorporated as profit making such as a business firm. or not-for-profit such as a church. Some are legally provided for in federal, state and/or local legislation such as school districts and city governments. The corporate charter and/or existing legislation defines, and limits, the purpose for which the organization may exist and its responsibilities for fulfilling that purpose. While PETC-III will not dwell

on the legal aspects of organizations, it should be noted they are the foundation of existence of human systems at this level. This is comparable to the way politics are the foundation of existence of a human system at the societal level. As they develop, most organizations are legally limited in their purpose and in certain of their procedures.

Any particular organization is defined by the uniqueness of its purpose, its structure, its operating procedures and its norms or expected ways of doing things. For example, a bank has a financial purpose, whereas that of a school district is educational. Between school districts, one may have a purpose narrowly defined to the three R's of education while another district is more broadly concerned with issues of youth socialization. Organizational structures may differ as represented by scroll-like vertical charts, widely-spread horizontal charts or matrices indicating interchanges between roles and functions. Within similar structures, operating procedures may vary on anything from curriculum decision making to hiring and firing of staff. If such things are similar, two districts may still vary strikingly. Norms may differ such as concerning the formality of decision making or reception of new persons into the system. If concerned with the development of an organization, start by discovering its uniqueness in these regards rather than assuming it is like others you have known. You also need to learn about its stage of life and phase of maturity.

Life stages of an organization really represent the range and balance of its functioning, relative to fulfilling its purpose. When a new school district is started, it's apt to be limited in its functional capabilities. "Childhood" lasts as long as it takes to arrive at enough resources to provide all the functions needed with the system. Some isolated schools, or poor urban ones, never reach this stage and have people struggling to provide functions in inadequate, or "childish" ways. Once a full range of functions are arrived at, adolescence is the period of bringing them into a smooth, integrated balance. Middlescence occurs when some outmoded functions are retained, thus creating an operational imbalance requiring change. Throughout adulthood, the organization maintains a balance of needed

functions. In old age, allocation of resources to particular functions may become rigid to maintain an organization that no longer meets changing human needs. Senility occurs when functioning becomes impossible because of poor operations, or because the organization ceases to meet relevant human needs. When, as a result, it ceases to receive support, the organization dies. (Review Figure 3 on page 52)

In addition to stages of growth, the organization will evolve to one of the phases of maturation during its life. A school district that does things simply "because everybody knows that's the way you should operate public schools" is in the Stereotypic Phase. It may be that many public schools in our country live in this early phase of maturity--or, more accurately, even our "adult" schools appear mostly to be quite "immature" as organizations.

A school district that is open to arriving at doing things in its own, unique ways--based on its own experiences--has reached an Opinionated Phase. It appears that many experimental school efforts showing up these days, although at an early life stage, are moving to this more mature orientation. They exhibit corresponding kinds of functional capability. Such districts are still limited by a tendency to reject the generalizability of experience of others and objectivity of evaluation necessary to the later Creative Phase.

There are as yet few illustrations in public education of school districts moving to an Existential Phase. Some private ventures show characteristics of this phase in being open to any experience as a valid source for learning. There is an increase in richness and variety of learning that can occur. There is release from the stereotypic and opinionated barriers that have restricted learning and yielded undesired side effects of negative self-appraisal and dislike for learning in many individuals. But, this phase greatly increases the dangers of indiscriminate exposure to experience that can be counterproductive or destructive. Breaking into the freedom of an Existential Phase orientation is necessary to ultimate maturity, but should be respected for its risks. An individual who is thrown into deep water is as apt to drown as to discover he or she can swim. An individual who has gained advanced capability as a swimmer can still

get into trouble without equal capabilities to read tide tables and charts of ocean currents.

A school district that operates by continuously altering its procedures as they affect outcomes has reached a Creative Phase of maturity. Its orientation and functioning are dynamic in that it can change the kinds of resources it utilizes to achieve them. The authors of PETC-III know of some exciting efforts to move in this direction, but do not know of any public school district that fully illustrates this kind of maturity as yet. One must look to fields other than education for such illustrations.

As a review of the definition of the organization as a human system, look at a school district. It's a system in that it has parts functioning interdependently to provide a purpose. It's a human system in that it's comprised of people and functions to realize a purpose of meeting the hierarchy of human needs. It's a system, at the organizational level, in that its parts are mostly small groups providing functions to meet its purpose. Such groups include faculties of schools or academic departments within those faculties, administrators, service personnel, student peer groups, neighborhood parent-teacher groups and the school board.

Most school districts are fairly adult organizations in that they are able to provide, within their staff, the complete range of functions necessary for operation. The possibility for increasing the balance and/or the sophistication of processes used to provide these functions is the major concern of the organizational development consultant.

The school district's phase of maturity is almost certain to be either Stereotypic or Opinionated. Most public schools have not yet been able to venture beyond doing things in "the ways we have always done them," or, on the basis of their own limited capability of experiencing.

Their purpose is stated legally, primarily in legislation at the state level. It is frequently found elaborated in the local school district by a very generalized statement of objectives.

The organizational structure of the stereotypic school district is represented by the traditional kind of organizational chart. It

shows the school board, superintendent, central administrative divisions and building faculties. There may be a written manual of policies and procedures, but the organizational development consultant is likely to have to do considerable interviewing and observing to arrive at a valid assessment of the actual operating procedures. This is even more true for gaining a valid picture of norms and other operating characteristics which affect the organization's functioning.

Understanding Any Particular Educational Organization

Understanding any particular educational organization calls for knowledge of: its purpose as reflected in its philosophy, objectives, policies and procedures; its growth as reflected in its balance of functional capabilities; its maturity as reflected in the characteristic ways functions are provided; its structure and norms which tend to maintain, obstruct or facilitate the organization as a static or changing enterprise; its degree of congruence with the larger community and societal systems of which it is a part; and its consequent health.

An idealized purpose for the overall system of American education has been suggested. This is the dual purpose of maintaining society by: (a) preparing individuals to make the society function while, at the same time; (b) facilitating unique growth of individuals to their maximum capabilities of creating pluralistic life styles to contribute to the evolution of society.

Any particular educational organization may be expected to fulfill purposes that vary from this idealized dual purpose. Local schools have come to provide some other major social functions for their communitites in the past few decades. They provide custodial care and control of the young, various kinds of instruction, socialization of youth through informal, as well as formal aspects of the institution, and screening and certification of students which act as a major selection function.

Schools may, or may not, provide these social functions in ways that support the idealized dual purpose proposed here. To consider the social functions of schools in an historical perspective

can be instructive; diagnostically useful; and, in an era of major social change essential. Most school districts tend to see themselves doing well as they fulfill these social functions but do not relate them to the dual purpose proposed as necessary for a constructive future. Some examples are given in the following pages. First are some examples of how these social functions tend to be carried out in most schools at the present time. Second are some examples of how schools might operate if supported in fulfilling the idealized dual purpose. Some implications for organizational development work will then be noted.

Current Social Functions of Public Schools

Public schools are currently seen as doing a good job if they hold youngsters in attendance at least through senior high school. There are few constructive roles, other than student, for youth in our society. The labor market has difficulty absorbing them even by their mid-twenties. Simply keeping students in school can be an objective which overshadows issues of the quality of what they experience while there. This attitude both frees parents for work and keeps youth out of the job market. From one value perspective, such custodial care is most desirable if it is kept relatively inexpensive. There may be many who simply want to keep youth off the streets and out of the labor market as cheaply as possible.

Most citizens would agree that schools have some responsibility for their effects on the socialization of students toward becoming responsible members of society. Reports of social scientists over the past two decades show a confused and often conflicting picture of what actually occurs in a community concerning youth socialization. Youth socializing institutions such as religious groups, social welfare agencies, the courts and social control agencies, recreation groups, employment groups and families tend to have conflicting ideas about desired effects on the values, attitudes, expectations and behavior patterns of the young, and about who should have responsibility for what.

Each institution wants credit for some desired outcomes. Each denies more responsibility for undesirable ones, although the family is most often cited as the major contributor. It appears that some areas have been generally neglected by all. Even though there are beginning

signs of change, few institutions are likely to provide direct help to youth in socialization experiences concerning values exploration as contrasted with values indoctrination, in the experiential world of work, politics, consumerism, or in sex and role identity. In a world where evidence shows that youth are becoming increasingly aware of existential dilemmas, a tremendous discrepancy stands out between the socialization efforts that teach youth to stand quietly in line at drinking fountains, or to sit quietly through lengthly written tests, and the failure to involve youth in the consideration of the issues of the world of work, politics, sex and others. Such discrepancies may well result in future disaster.

At this point, society generally expects the schools to effect at least compliant, if not constructive growth, behavior, from every child up to the age of 16! In order to provide a milieu that achieves such compliance, in face of the custodial demands of a society that wants youngsters largely separated from adults, there is evidence that our schools have created a system of youth culture which is rather historically unique. Socialization, then, may come to have the effect of preparing youth for an extended adolescence rather than pluralistic forms of adult maturity!

Our schools have always served a major social function of selection by differentially screening and certifying members of the community. This includes identification of some as incompetent, others as dropouts, some as "vocationally oriented," while others are "college bound." As youngsters "learn the system" and ways to cope with the desires and expectations of persons in their lives whom they care about, a process of self-selection begins to interact with the system's selection procedures.

Presumably, screening and certifying occur to increase the probability that students will experience the learning they are most ready for. Such certification also aims at increasing the chance of being recognized for things students can validly offer as their worth to others. Unfortunately, there is evidence that selection procedures serve other purposes. Diagnoses intended to improve individualization of learning lead to self-fulfilling prophesies of failure. "Bluebirds" are rocketed to dizzying heights

of achieving "mastery" of content--most of which they will not retain or have any personal use for in their lives. What many of them do retain is a confidence in their ability to be influential in their worlds. When coupled with credentials, this will later provide most of them with commanding positions in society.

While the "bluebirds" are being screened "in," other groups are being relegated positions on the sidelines, or ejected from the game altogether. There is evidence that this selection process rules out as many "bright" students as it rules in. Creativity is likely to be more of a detriment than an asset in many cases. Explicit attention is most often given to cognitive behaviors, whereas affective ones may relate better to satisfaction in life or ideas of what it can mean to be a good person. Certification is likely to include those who are academically glib, but functionally incompetent. It is likely to bar many who could function with great competence under conditions that recognize the personally relevant criteria in one's life orientation, rather than based on someone else's criteria.

The instructional function in schools becomes deeply entwined with the social functions of custodial control, socialization and selection. The learning experience provided for a particular child at any given time may be only partly a matter of what the child needs, desires or is in any way ready for. The custodial socialization and selection needs of the society are likely to far outweigh child-centered factors in determining the appropriateness of the learning experiences provided by the schools.

Increased attention to improving instruction in our schools is bringing about interaction between progressive educators and traditionalists. The conflicts betwen society-centered needs and child-centered needs are beginning to be acknowledged. Progressive educators and traditionalists may both be beginning to yield some ground to each other. Persons moving toward advanced developmental perspectives are intervening with moral issues that begin to supercede the old empirical arguments in a world that may not survive until the discovery of ultimate truths or most cost/effective means. At the present time most instructional experiences in schools are likely to fit the following description.

> There has been some screening for readiness of the student to learn from the experience provided. Such screening fits "the grade level" assumed appropriate for the student. The student's previous test scores and observed products and behavior provide some rationale for supposing he or she can "handle" the content to be learned. Assumptions about the appropriateness of the way the learning is to take place are most likely to be implicit. This "teaching/learning strategy" of the experience usually includes such activities as reading, sometimes discussion or question-answering in class, occasionally some writing or production of a "special project" such as using magazine clippings or papier-mâché. The learning experience is not likely to reflect any extensive consideration of factors derived from the student's cultural background, family life style, felt needs, desires or motivational dispositions. The socialization effect of the learning experience is most apt to reinforce an expectation that the student's concerns for relevance in terms of self, peers or family culture is not a recognized or legitimate source of criteria. There is usually some manner of evaluation included in the experience. This generally reinforces a kind of certification of the student as an "A" or "B" or "F" performer, a good or poor or lazy student, one headed toward college, the trades or welfare. Whatever the outcomes of each particular learning experience, most students "learn" that in order to receive a credential from the system, it is much more important to give "right answers," than to gain a personally usable understanding of what is being taught.

Fulfilling the Idealized Dual Purpose of Education

Before working with any particular school organization, it is important for the organizational development consultant to have an idea of where American education in general may be heading in terms of its evolution. Education fulfills one kind of purpose now and needs to move toward the idealized dual purpose described earlier. This change would involve a shift of functions which schools tend to provide in society as each local community shows readiness.

It is quite possible for a school district to improve in terms of its growth or maturity as an organization without changing in terms of those purposeful functions. Some OD projects in education have

seemed to be failures because they did not seem to effect such purposeful changes. They certainly would seem questionable if they only strengthened a pathological system's ability to act destructively. On the other hand, an OD project may be a success without having any immediate effect on issues concerning the purpose which that system serves if the OD project contributes to eventual ability to move toward the dual purpose needed. The social functions schools now tend to fulfill as their purpose will be compared in the next section to the ideal ones toward which they may move. Then a number of the substantive issues will be considered as they serve as constraining and/or facilitating factors influencing movement. Keep in mind the difference (and anticipated relation) between improving a school organization's functioning on the one hand and improving the social purpose which it provides on the other.

Appropriateness

The focus of activity, as well as the source of criteria for judging success, of schools that fulfill the needed dual purpose of education is not found in achievement scores alone. It is not based on implicit or explicit measures of the extent to which schools provide custodial, socialization or selection functions. The authors of PETC-III propose that schools of the future should be judged successful to the extent they provide appropriate learning experiences for all students. Appropriateness will need to become defined in terms of three factors:

1. Readiness in terms of the content to be learned
2. Relevance in terms of the student's cultural and self life styles
3. Meaningfulness in terms of the developmental factors of the dynamics of cognitive, moral and socio-psychological self-growth

As stated earlier, the authors propose a needed dual purpose of education maintaining a changing society by:

1. Preparing individuals to make the society function
2. Facilitating unique growth of individuals to their maximum capabilities of creating pluralistic life styles that can contribute to evolution of society

To fulfill this dual purpose, schools will need to shift from primary concern for the other societal functions mentioned to a commitment and

capability of providing appropriate learning experiences. Advanced forms of organizational maturity, defined by the characteristic ways that functions are provided, will be necessary. The three factors to appropriateness of learning experiences (readiness, relevance and meaningfulness) are described more fully below.

The first factor of an appropriate learning experience is readiness of the student for the content to be learned. Does the student have the knowledge, skill and attitudinal prerequisites necessary to learn from the experience provided? Is a minimal vocabulary necessary before discussing a particular subject in a foreign language? Is a knowledge of calculus necessary before studying certain theoretical problems of statistics? Must one already be able to swim before entering the U. S. Navy "frogman" course? Are the prerequisites of the content to be learned really such that the latter course should not include training of "frogwomen!"

The second factor of an appropriate learning experience is relevance in terms of the students' cultural and self life styles. Does the student have the kind of expectations, aspirations, desires, types of motivation, or view of self and community that produce attention and effort to make the experience a profitable one? These issues, and ones concerning the third factor of appropriateness, were more fully explored in Chapter I. Relevance was defined as anything that has the potential of influencing a change in the individual's social-psychological understanding of self. The presumed learning experience will tend to lack that potential if it is so foreign to the world of the student that it fails to gain and hold attention. If too discrepant, the experience may not only fail to result in the planned outcome, it may result in the student learning to feel negative about the content, the teacher, the school setting or the student's self!

The third factor of an appropriate learning experience is meaningfulness in terms of developmental dynamics of cognitive, moral and social-psychological self-growth. Does the student have ways of cognizing (ala Piaget), valuing (ala Kohlberg), and experiencing self and world (ala Jung) so the "learning" will include personally usable meanings? For example, it is generally inappropriate to present

a relativistic learning dilemma to a student who has not yet reached "formal operational reasoning." The student who experiences the world in terms of stereotypic dichotomies will tend to feel dumb, or see the teacher as incapable, if the learning experience is not framed in terms of right or wrong answers. Such a student may learn how to give responses that have no personally usable meaning. Such a response evidences that the student has learned it is more important to satisfy demands of others than to achieve personally meaningful understandings!

The student faces a seemingly paradoxical trap in striving to attend to this third factor of appropriateness. Meanings in learning experiences will be maximized if they are congruent with the student's current stage of developmental growth. But, if always limited to this congruence, the student may be blocked from moving to the next stages of developmental growth. It appears that growth is blocked both by experiences that stay where the student is and by experiences which are too far advanced. Meaningful learning is facilitated by congruence of experience with growth stage. Movement to the next growth stage results when the student has the freedom and energy to attend to exploring learning dilemmas one stage beyond his current capabilities. The factor of meaningfulness includes both kinds of consideration.

Figure 8 indicates the difference between the social functions schools are primarily concerned with now compared to future focus on appropriateness of learning experiences. Some major factors that may constrain or facilitate schools moving toward the proposed dual purpose are indicated. They are described more fully in the following pages. The major point to consider here is that organizational development work is concerned with the health, growth and maturity of educational systems in relation to their fulfillment of human purpose.

One works to build in and maintain increased functional capability of an organization so it can better fulfill its purpose. It is therefore necessary to have a clear conception of what that purpose is, and what you care to see it become, when working with any particular educational organization. There may be many valid reasons why any particular organization currently operates toward a purpose different from the idealized one proposed in Figure 8. Your own

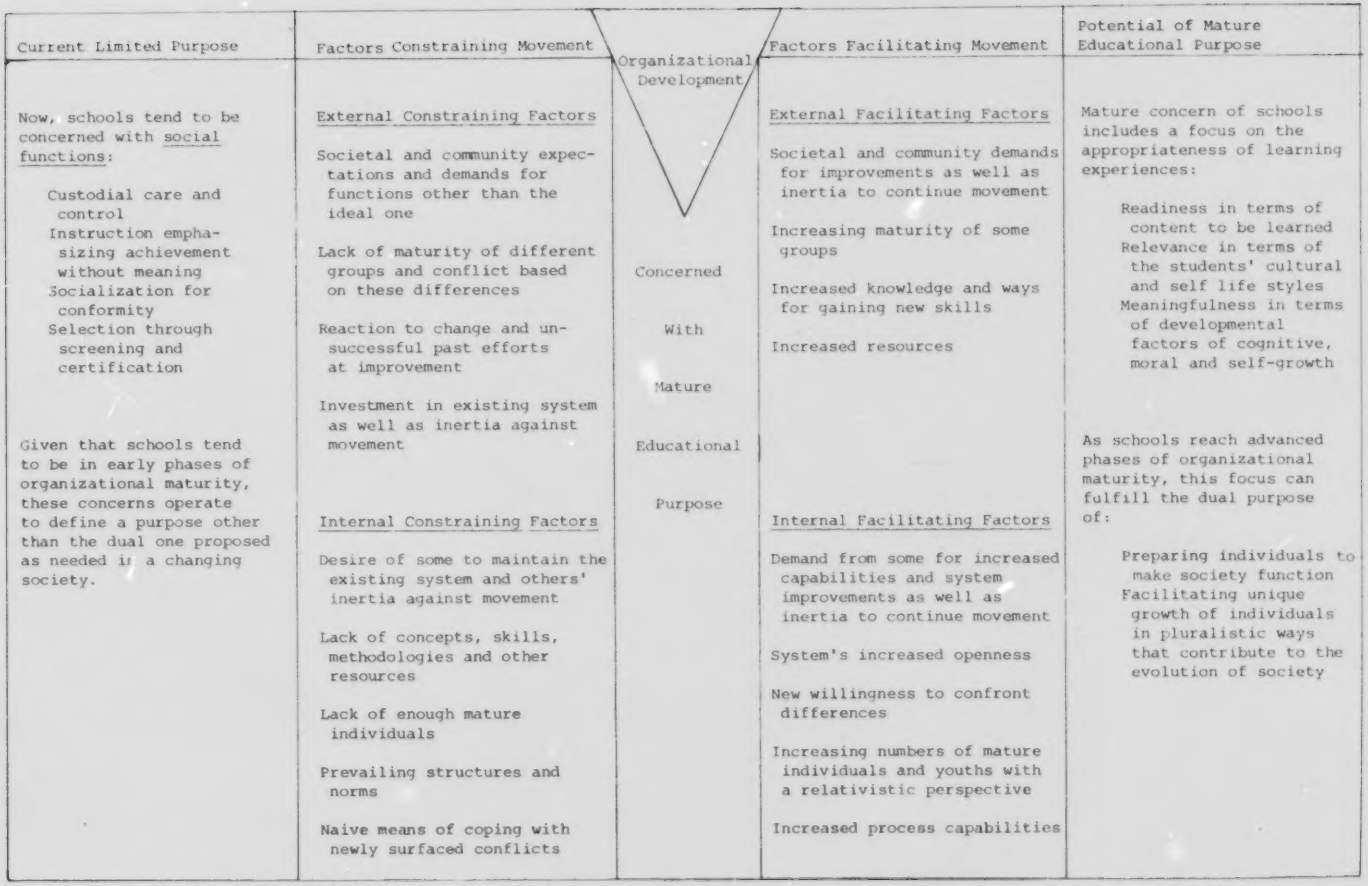

Current Limited Purpose
Factors Constraining Movement
Organizational Development
Factors Facilitating Movement
Potential of Mature Educational Purpose
Now, schools tend to be concerned with social functions:
Custodial care and control
Instruction emphasizing achievement without meaning
Socialization for conformity
Selection through screening and certification
Given that schools tend to be in early phases of organizational maturity, these concerns operate to define a purpose other than the dual one proposed as needed in a changing society.
External Constraining Factors
Societal and community expectations and demands for functions other than the ideal one
Lack of maturity of different groups and conflict based on these differences
Reaction to change and unsuccessful past efforts at improvement
Investment in existing system as well as inertia against movement
Internal Constraining Factors
Desire of some to maintain the existing system and others' inertia against movement
Lack of concepts, skills, methodologies and other resources
Lack of enough mature individuals
Prevailing structures and norms
Naive means of coping with newly surfaced conflicts
Concerned With Mature Educational Purpose
External Facilitating Factors
Societal and community demands for improvements as well as inertia to continue movement
Increasing maturity of some groups
Increased knowledge and ways for gaining new skills
Increased resources
Internal Facilitating Factors
Demand from some for increased capabilities and system improvements as well as inertia to continue movement
System's increased openness
New willingness to confront differences
Increasing numbers of mature individuals and youths with a relativistic perspective
Increased process capabilities
Mature concern of schools includes a focus on the appropriateness of learning experiences:
Readiness in terms of content to be learned
Relevance in terms of the students' cultural and self life styles
Meaningfulness in terms of developmental factors of cognitive, moral and self-growth
As schools reach advanced phases of organizational maturity, this focus can fulfill the dual purpose of:
Preparing individuals to make society function
Facilitating unique growth of individuals in pluralistic ways that contribute to the evolution of society

Figure 8. Major Factors in a School's Movement Toward A Mature Educational Purpose

conception of an idealized purpose also may differ. As an organizational development consultant, you owe it to your clients and yourself to at least work at being explicit about purposes you envision and value. They become the basis for a rationale in your efforts to influence or refrain from influencing organizational change in any given instance.

The health of the organization may often demand attention to growth before much can be done about advancing maturity. The consultant may be striving for a better balance of functional capabilities in working toward organizational maturity. Whatever is called for in a given instance, there are many factors which may constrain or facilitate an organization in its efforts to move toward better fulfilling its purpose. These factors are both external and internal. They are both historical and particular to the forces operating in a given time in a local setting.

There may not be any best way to deal with such factors. Each local situation can be unique. One orientation is that the consultant, and ultimately the client, needs ways to understand and influence the dynamics of local situations in order to cope with substantive issues. Processes are used to provide and alter functions. Factors such as the following ones may always exist in some forms. The presumed need is for dynamic ways to deal with them.

External Factors Constraining Organizational Improvement

1. Society expects its schools to maintain its traditions to the extent of influencing them to be tradition-oriented organizations. More than most institutions, the public has tended to be suspicious of change in the schools. Most citizens spent many years as students themselves. They maintain strong normative expectations.
2. As employees of public institutions, school personnel have generally been expected to present a "perfectionist" model in their community. The values of the dominant culture must be personified in those who are public models for the young. There has been little tolerance for human frailty, or even cultural deviation, for school personnel.
3. Schools are political entities with control by the cultural majority. The "melting pot" ideology has prevailed rather than a

value for interaction of pluralistic differences. Evidence indicating the majority of adults have not progressed beyond mid-point in developmental maturity provides validity for fear of school personnel attempting to deal with differences.

4. Schools are only one of a number of institutions in their communities concerned with youth socialization. There is little communication or coordination between them. Assumed norms concerning roles and responsibilities serve to inhibit each institution from taking action in potentially controversial areas of youth needs.

5. Although generally controlled by the cultural majority, schools are vulnerable to minority and special interest groups in the community. Many school people experience their best interest to be served by adhering to a middle ground where problems are avoided and denied rather than by taking risks in confronting them. The various interest groups generally lack sophisticated problem solving capabilities, lending validity to the schools' concern for getting involved in issues of conflict.

6. Large numbers of individuals in communities having early phase maturity serve to maintain oppressive social norms on issues such as racism and sexism. With children coming together from all groups in society, the schools easily become a focus of attack for those concerned with social issues. Instead of schools supporting further development of youth, they are easily influenced to maintain oppression in the interest of assumed sanity and survival of those who operate them.

7. There is an increasing gap between youth who grow up to experience their world in relativistic terms and adults who have more limited developmental perspectives. For the most part, communities, and society at large, fail to see a need for schools to be concerned with the developmental growth of young citizens.

8. Historically, society has placed a higher value on schools emphasizing "classical" academic learning as compared to career "utilitarian" learning.

9. The educational growth era following World War II and Sputnik initially emphasized more and "better" of the same. This tended to increase the institutionalization of many practices.

10. States and communities have an enormous capital investment to maintain in their school system. A significant dollar flow in any local community relates to the schools and school personnel. Any major change in procedures, roles, equipment or physical plant can have significant economic implications to taxpayers, dollar flow or capital investment.

11. Institutions of higher education have typically maintained a traditional influence throughout all other levels. They tend to perpetuate an atomistic (e.g., separation of academic subjects) approach and a kind of credentialing based on stereotypic professionalism (e.g., training and rewarding based on implicit assumptions that roles, tasks and knowledge won't change).

12. A period of ill-planned and badly implemented efforts at innovation during the 1960's has left many educators disillusioned and understandably resistant to further risk taking. It has greatly increased federal and state involvement in local schools, public visibility of critical aspects of school functioning as well as conflict and uncertainty of control issues.

13. There has been a fast growing industrial-federal-school complex of interests with its own inertia for maintaining uncertainty and conflict in education. Many new kinds of jobs and products have been created, arousing new self-interests in their perpetuation. It is not surprising the local educators argue that the money spent in industry, government and nonprofit organizations to "improve" education could do a lot more "improving" if put directly into the hands of local schools.

14. In contrast to the preceding factor is the reality that research and development for education still represents only a fraction of a percent of the amount spent on or for education. In other fields it represents from 10 to 20 percent or more. In education increasing amounts of money are spent locally "doing" with seemingly little attention aimed at gaining knowledge of what is being done.

15. There appear to be powerful economic interests in both labor and industry that seek to keep youth out of the job market. These interests support schools as a custodial holding ground for youth at as low a cost as possible. They oppose higher school costs

supporting the "quality" of developmental growth of individuals, not recognizing this as corollary to their economic interests.

16. In contrast to the preceding factor, there appear to be growing numbers of humanists and antimaterialists who ignore or deny material needs of a society's capability in becoming more humane. A reaction against economic interests can lead to digressive conflict, or withdrawal from participation in the greater society. The constructive resources of many young adults may have been lost to the polarizations of social issues experienced in the 1960's. It seems doubtful that either extreme materialism or antimaterialism can move society and its schools ahead constructively.

17. Practices of national text publishing organizations appear to be a restraining factor. While many may sincerely want to support educational improvement, it is unlikely they could survive a unilateral effort to underwrite the costs of the kind of transition that faces American education. There is only the beginnning of recognition among school people of the kinds of teaching and professional training products needed for moving into a dynamic form of education for a world of change. There is even less awareness among the public. Publishers who have made pioneering efforts have lost money. They, therefore, tend to fall back on textbook approaches that are financially safe. This both perpetuates past practices and denies the use of resources needed to initiate improved ones.

18. There are many kinds of financial inequities throughout the educational system in the United States. These exist between geographic regions with different ethnic groups where incentives and opportunities vary. Resultant losses range from the undeveloped potential of individuals to energy spent in destructive response to conflict.

19. "Taxpayer rebellion" has become a common phenomena in local communities across the country. This seems related to economic and social conditions other than just concern or negative views of the schools. With seemingly little control over inflation, other forms of taxes, decisions on racial matters, or the credibility of politicians, citizens can make their power visible by voting on local school matters. While some of these votes undoubtedly reflect a

concern for school effectiveness, the extent of influence not clearly related to quality education has become a major constraint.

20. There seems to be a lack of clear image or consensus in the minds of local citizens as to what may be needed in the way of educational improvement. As reflected here, there is a need for a massive "retooling" of educators to give them a dynamic vision of human growth as well as process capabilities to support it. Society generally seems to instill hope for static, atomistic solutions. This is understandable, knowing the limited developmental maturity of the majority of adults. It is untenable, knowing the more advanced developmental perspectives being achieved by increasing numbers of youth and the ultimate kinds of creative and destructive capabilities of societies. This lack of recognition and commitment of the American people to a thorough retraining of its educators is probably the most serious constraint to organizational improvement. On moral grounds alone it seems a decision could be made to give educators the capabilities of supporting youth to move ahead on the creation of a future.

Internal Factors Constraining Organizational Improvement

1. The single most important factor within the schools that constrains them from moving toward provision of more appropriate learning experiences for students may well be the lack of ability to adequately assess outcomes. Pressure on school personnel for greater cost effectiveness, or other kinds of accountability, tend to be translated into actions to produce higher levels of adacemic achievement without respect to student relevance or meaningfulness. Lacking methodology to do otherwise, the best intentioned teachers may succumb to protecting themselves from these pressures in ways that are counterproductive and destructive for students.

2. Many schools still feel a pervasive influence of staff or school board members, who represent a desire to have schools maintain the social functions of custodial care, selection, and traditional forms of socialization and academic instruction. Even among students, those who succeed and gain some power in the system, often come to uphold the norms perpetuating emphasis on these functions! They may tend to contribute to some other students, and even staff members, becoming "push outs" from the system.

3. Tradition-oriented school personnel are unlikely to see community resources and settings as offering learning experience opportunities for students. One common argument for lack of active collaborations is professed concern for legal responsibility. Societal norms of competitiveness and fear of confronting issues of control may be more valid underlying factors.

4. The orientation of school people has historically been reactive rather than proactive. Many still think of the public schools as recipients of innovation--the end of the pipeline--rather than local generators of it. In fact, there is much evidence of local innovativeness in American education. But it tends to occur in isolated ways. Local innovators do not recognize the generalizable merit of their efforts. Without expectations and mechanisms to support trial of adoption, adaptation and spread, even "the teachers next door" tend to await deliveries rather than seek alternatives.

5. Evidence indicates the majority of educators have not progressed to advanced phases of cognitive or moral development. This must be a critical factor in school support of developmental growth of students. It wouldn't necessarily be prerequisite that all school staff members be further than students in order to support the latter moving beyond them. But it seems logical that exploring the implications of differences in maturity and discovering ways to act on them must be vital to human developmental transition.

6. Decision making in schools tends to occur in a personal referent process based on stereotypes and opinion. One is doing well if within tradition and accord with expectations of peers and superiors. There is general lack of awareness of, much less skill in, differential kinds of logical, moral or data-based problem solving processes.

7. School personnel generally have a low risk-taking orientation. There are many realistic aspects involved including vulnerability in not being equipped to clearly relate performance to outcomes in the face of often conflicting pressures of different interest groups. Low risk taking is frequently related to unequal power distribution ("a few roles call the shots around here") or low overall power ("nobody can influence anything in this place") in an organization. A healthier risk-taking climate generally involves high levels of

fairly well equalized power ("all roles can have a lot of influence in doing things"). Educators who are low risk takers tend to set low level objectives and inhibit activity which is not a means to those limited objectives.

8. Progress toward educational improvement in schools has been inhibited by their organizationally peculiar combination of extreme autonomy of the self-contained classroom teacher coupled with highly centralized budget control by administrators. If imposed within constraints of these peculiar organizational traditions, current movements to implement accountability may emerge as a new kind of abortive nightmare. A balance of more sophisticated interpersonal and organizational processes will need to supplement technological ones if human growth is to be served.

9. Schools tend to be controlled internally by the few individuals who have arrived at some degree of political sophistication through the chance of intellect or experience. Although schools are created as highly political institutions, there has been little preparation of educators to understand this or to function constructively in accordance with it.

10. Lacking in political sophistication generally, school personnel are ill prepared internally to relate to other concerned interest groups in their communities. It is understandable, therefore, that a "don't pay attention to the rocking boat" orientation tends to prevail.

11. Conflict between role groups became an increasing factor within schools during the 1960's and into the 1970's. Militancy of teachers, students and administrators emerged. While this can bear seeds of new openness to change things for the better, lack of alternative process skills to deal constructively with conflict can result in destruction, more oppression, and greater fear to face inevitable changes.

12. Limitations of financial resources in most school settings are such that the orientation is one of trying to maintain programs rather than one of freedom to innovate or attempt improvements. Inflation, "tax payer rebellion," conflict between roles, and dwindling enrollments all contribute to this orientation.

13. In the accountability movement there is much talk about cost effectiveness. Close examination of local settings indicates that, while effects are given as excuses, costs are acting as the underlying reasons for decisions irrespective of effects. Confusion in the situation is contributed to by the difficulty of school people in measuring effects. As indicated earlier, the kinds of effects that are easiest to measure are those which ignore relevance and meaningfulness. Thus, the current financial constraints and the accountability movement tend to combine to push school people away from the needed improvements in education.

14. A very significant number of schools are limited by their necessarily small size. The needs of rural, isolated schools in this country are still a major issue. Organizationally, schools are inhibited in healthy growth until mature enough to form independent linkages to supplement functional capabilities which they are too small to build and maintain for themselves. This is not an argument for school consolidation in rural settings. There can be very real advantages to small size of operation in schools. There can be ways to bring together a needed range of functional capabilities without forcing all people to work together in the same setting.

15. Organizational factors of inertia block movement toward improvements in overly large school settings. With a large number of diverse interest groups represented in the school population, it is not only difficult to operate in productive ways, it is also difficult to increase the range and maturity of characteristics of the functional capabilities of the organization. Training to increase functional capability of individuals needs to be done in ways that provide norms to support the use of new capabilities for the organization as a whole. While per capita costs for such training may be reasonable, total cost figures for a successful norm building and training strategy can be prohibitive in a large organization. Thus, when training or other improvement interventions are made, they usually occur only in some parts of the organization. This situation contributes to isolation of that subpart, new ingroup and outgroup barriers, as well as the building and maintenance of "empires" in the organization.

Due to the large size of a school system, another inhibiting factor is one of communication and understanding between subparts. Felt needs to reduce the amount of communication are likely to lead to oversimplifications reinforcing a statistical production orientation as opposed to humanistic values concerned with maturity and growth. Focusing on the number of dollars for the number of teachers needed to provide a particular course at a particular time for a particular number of students can become more important than issues of the quality of experience of the people involved.

16. It was noted earlier that school people have difficulty in assessing outcomes. A lack of adequate methodology to assist them in making these assessments in inclusive enough ways compounds this problem. It has been proposed to base the success of schools on the extent to which they provide "appropriate" learning experiences for students. Educational research and development personnel have focused mainly on methodology of defining and measuring content to be learned. This only deals with the first factor of appropriateness. The school people still have camparatively little help in the way of techniques, instruments or behavior to enable them to attend to factors of relevance or meaningfulness in terms of the students' developmental growth. In the 1970's it appears that educational research and development is still moving in the direction of psychological reductionism as far as methodology is concerned. Perhaps the greater need is for ways to conceptualize and assess organismic growth of individuals and organizations. This is not to argue for one type of methodology to replace the other. Each seems needed.

17. While many school settings have moved toward creating curriculum resource centers, there continues to be insufficient range and quality of resources for flexible ways to provide appropriate learning experiences for students. This problem can be somewhat circular and paradoxical at the same time. Teachers need to have an orientation toward, and a range of capabilities for, creating learning experiences in order to use curriculum resources toward this end. This is quite a different orientation and set of capabilities than those of the traditional teacher role of expert-instructor-custodian. As teachers gain the necessary new process capabilities, and organizational

support such as differential staffing is provided, the need for flexible curricular resources increases. On the other hand, from the more traditional teacher role perspective this need is not visible. Such a teacher looks at resources that may be used in highly flexible ways and rejects them saying, "There are no clear instructions here telling me how I am supposed to use these."

18. An internal constraining factor that should not be overlooked is that of limited human energy. To the extent that balanced and mature functional capabilities are lacking, tremendous amounts of energy stay bound up in actions to protect oneself, to keep the boat from rocking and to put out fires. A national consortium of school districts attempted to bring about improvements during the 1960's in preparation for what they called "education systems for the 1970's." There are many reasons why this well intentioned effort, involving highly capable individuals, did not make much progress. At the time, they described the challenge of their effort as analogous to converting a steam locomotive to a streamliner without slowing down the train. Such a capability to make major improvements in routine ways is an end goal of the highest level of organizational maturity. It seems unrealistic and unfair to put growing pressure on schools for improvement, given their present level of procedural capabilities, unless the public is willing to recognize and support added time and resources for a retooling of the entire system.

External Factors Facilitating Organizational Improvement

1. Demands for educational change are increasing in both range and intensity. Even though there is both conflict and unclarity in these demands, they do represent a climate and set of forces that may facilitate improvements. This is certainly not a time of complacency in education. The local strategy may often be one of how to convert demands for change into forces for improvement.

2. Some overall increases in sophistication about change efforts emerged from the improvement efforts of the 1960's. The political demands for quick payoff and panacea are now diminishing. While there still are many who assume generalizable solutions can be found, there is also indication of a growing awareness that support is needed for increasing local capabilities to plan, implement and assess the effects of improvement efforts.

From a national perspective, change efforts of the 1960's were directive or laissez faire. Emphasis was on "what's," such as discovering the best way to teach teaching. Concern seems finally to be shifting to the "why's" and "when's" such as helping teachers learn problem solving processes so they can determine for themselves the things they desire within a framework of moving toward humanistic developmental maturity.

3. There is a slowly spreading recognition of the need for new concepts, skills and approaches in education. This represents the beginning of a demand for schools to take on new kinds of objectives and utilize new kinds of resources. This demand represents the excitement of attraction to new possibilities in addition to critical rejection of old practices. For all of the problems that can be cited, there have also been many positive outgrowths of the improvement efforts of the past decade. New levels and forms of support are appearing to both force and legitimize continuous professional development of educators.

4. The movement for accountability in public education is taking many forms which may facilitate improvement in local schools. Although there may be many conflicting reasons for it, education does have the attention of the general public at this time. Concrete ways to demonstrate increased cost effectiveness by the schools are likely to be noted and responded to. Ethnic minority groups that once tended to be stereotyped as unconcerned about their children's educational progress are now demanding that schools influence and account for such progress. Widely differing interpretations of accountability are being used to support different kinds of improvement efforts as well as generating conflict over them.

So long as the problem solving approach matches the problem issue in any given instance, the movement for accountability in education can be highly constructive. Educators can learn to state what they are attempting and demonstrate they have attempted it in the most cost effective ways. They can learn to explore how and why things are happening in their educational settings and be accountable for knowing what's true about the major forces that may block or facilitate their students' learning. They can learn to recognize and

surface legitimate conflicts and be accountable for maintaining negotiating postures toward those with whom they need to collaborate on other kinds of problem solving issues.

Beyond these logical forms of accountability, there can also be an accountability for maintaining the conditions that allow for spontaneity as well as unexpected explorations and outcomes. The accountability movement could become a barrier to educational improvement if limited to a reward and punishment system based on periodic assessment of certain technologically measurable outcomes. If adequate process capabilities can be made available rapidly enough, the accountability movement should facilitate great improvement as educators and students alike experience the excitement and confidence of being able to see and to show their range of accomplishments.

5. A new body exists now of technology, knowledge and sophistication of strategies in learning and using human processes. Training in interpersonal, small group and organizational dynamics, previously available to only a few thousand people in our society, is already reaching tens and thousands of educators at a fraction of past costs. While work in this area is still in its infancy as a social science, availability of these resources for exploration and experimentation is being achieved.

6. There are beginning signs of awareness of new kinds of perspectives, shifting emphasis of perspectives, and implications of the social and psychological evolution which these perspectives reflect. This growth of what some have termed a new "consciousness" is being recognized in many forms and defined in many ways.

Illustrations of such growth include the enormous increase in popularity among youth in courses that provide for self-exploration of "inner space"; a sudden emphasis in industrial training, in exploring values and valuing; a backlash reaction among educators pressed to use behavioral objectives who then challenge the methodologists to provide them with resources to include affective objectives; and an indication in national polls of public questioning of the creditability and adequacy of the nation's political and economic system.

When these new perspectives, or forms of consciousness, are viewed using past historical orientations they imply this country is approaching revolutionary breaking points. The destructive possibilities of this alternative seem formidable. If, on the other hand, the new forms of consciousness are considered evidence of increasing numbers of individuals achieving advanced forms of developmental social psychological perspectives, an entirely different set of implications emerge.

If differences of understandings attributable to developmental phases can be separated from those attributable to cultural and philosophical pluralism, people may begin to find patience to avoid dealing with their differences as polarized conflicts while they grow to a level of maturity that allows relativism and differential problem solving.

This evidence of new perspectives represents advanced stages of sociopsychological development. The new perspectives represent the possiblity of evolutionary reform as a counter alternative to forces that might otherwise culminate in a revolutionary upheaval. The challenge for education is to support this human development rapidly enough for evolutionary reform to counter revolutionary pressure.

7. The base for significantly increased research and development capability has been formed in education. This includes research and development centers based in universities and industry, regional laboratories, and a host of other profit and nonprofit organizations devoted to training and consultation with public education institutions. It includes changes in role structure and procedures of state departments of education as well as higher education institutions and school districts. It involves changes in orientation and capabilities of many individuals as they have contributed to research and development projects. Whole new fields of educational evaluation and product development are emerging. While this endeavor still represents a small percentage of the total educational enterprise, it will be maintained and gradually increased. It represents a new source of educational products and procedures, as well as a resource in facilitating and categorizing change among other educational organizations.

8. There is a recognition of need and initial action to determine new bases for financing public education. Combinations of state and federal legislatures are influencing more equitable distributions of resources in some local settings. Freedom for local school people from being caught in the politics of tax payer rebellion (which may have little to do with the quality of education) can be facilitative in several ways. It can free time and energy that educators now have to put into obtaining local votes. It can remove extraneous concerns from the orientation local citizens have toward their schools. It may support a climate in which the balance of concern switches from a predominance of attention to cost toward more concern for effects. As more stable forms of financing are found, educators can do a better job in long-range planning and preparation.

Internal Factors Facilitating Organizational Improvement

1. There is a growing demand among school people for capabilities to deal with many kinds of changes that are occurring. The needs and orientation of youth are changing. Roles are changing. Procedures are changing. Curriculum is continuously changing. Issues requiring the use of new problem solving capabilities are being introduced both internally and externally to school people. New organizational configurations are being tried. Paraprofessionals, parent involvement and youth-tutoring-youth have all been introduced.

2. There are many settings where positive momentum for improvement efforts have been created by direct success, and by positive spinoff effects. Where change efforts have seemed rewarding, trust and risk taking tend to increase. The general readiness of educators to try new things is probably greater in this country now than ever before.

3. Organizationally, many schools have become more open systems. Diverse roles in interest groups are having influence on decision making and their needs are beginning to be recognized. Some barriers to collaboration have been confronted and occasional progress is found in joint problem solving and negotiating. There seem to be many settings for climates of readiness to explore new approaches.

4. Professional role groups in education are showing recognition of the legitimacy of self-interests and new capabilities for taking

constructive action on them. Tremendous amounts of energy are freed by a willingness and the ability to deal with issues of social conflict. Problem solving techniques which were not previously available in educational systems oriented toward maintaining the status quo are being used now.

5. Youth are bringing increased demands and capabilities into the school setting. Their world presses them to seek the how and why of things rather than simply settling for the what and when. This presents a potentially exciting challenge for educators to be responsive. As youth grow older, this kind of challenge tends to increase or to be replaced by an equally demanding one. Youth who experience others in their world as unable to resolve or cope with the relativistic dilemmas of a rapidly changing world frequently rebel against existing institutions, or drop out of them in various ways. In either case, the challenge to educators is greater than ever, as is society's need for educators to succeed in facilitating the constructive growth of youth.

6. The number of adults with advanced developmental maturity and social consciousness appears to be increasing. Among adults of all ages, there is growing involvement in continuous professional development.

7. As educators discover the increased power of process capabilities, their willingness and enthusiasm for dealing with change issues grows. Clear images of potential as well as confidence in new abilities to influence the forces of change have generated the new movement in many school settings. Such movements are even stronger where sharing process capabilities across roles results in greater total power throughout the system.

Substantive *versus* Dynamic Issues

The above factors that may constrain or facilitate movement of an educational organization toward a more mature fulfillment of purpose are not exhaustive. These factors are likely to occur differently in different settings. Any particular factor may or may not be found in a specific local setting. To the extent they do occur, such factors present substantive issues to which the organization must

respond. The organizational development consultant needs to consider how such substantive issues interact with the growth stage and phases of maturity of any client system. The latter are dynamic issues.

Most school districts are likely to be reasonably "adult," that is, they have the needed balance of functional capabilities in order to "provide school." At the same time, most districts are likely to carry out their functions in comparatively unsophisticated ways. They operate around the "opinionated" phase of "maturity." As reasonably adult but comparatively immature systems, they have difficulty being anything but reactive to substantive issues concerning the factors that have been described. They are influenced somewhat at random by both the constraining and facilitating factors. Such a district attempts to cope with the factors rather than acquire enough sophistication of functional capabilities to use them in the achievement of their purpose.

An adult organization with sophisticated forms of functional capability (i.e., advanced phase of maturity) can be proactive in dealing with the substantive issues raised by these factors. The result of such interaction can be the basis for incorporating new kinds of objectives and for utilizing new kinds of resources to best fulfill its purpose in an evolving world.

Five Alternative Emphases in Working with Organizations

In any consulting effort with an organization, it is crucial for the consultant to be clear about the client system's needs concerning health, growth, maturity and substantive issues. The nature of the consultation will emphasize one of these five alternatives.

1. Decrease pathology in the organization as a prerequisite to attempting any of the other four kinds of work.

   If problems in the organization represent poor health as defined by Figure 9 on page 107, it may be necessary to deal with this before engaging substantive issues. In the face of serious pathology, it may be impossible or damaging to attempt to alter the balance or forms of

functional capabilities. Of course, it's also possible for things to work the other way. Disruptive growth or lack of cross functional congruence in maturity can affect the health of the organization, thus creating pathology. Also, it may be necessary to alter functions in order to reduce pathology. Here are two brief examples.

Some key roles in the client organization are held by individuals whose personal power needs are subverting the system (which they see as a threat to their private goals). Unless or until their influence can be neutralized or removed, attempts to improve functions, such as to increase the openness of communications or adding the power of theoretical problem solving, may result in added harm. The subversive power figures may be better able to remove their antagonists.

Another organization may be doing very poorly at fulfilling certain consumer needs for which it is supposed to be responsible. Perhaps the problem centers on the language differences of a minority group. Further, members of this organization may hold values and intentions congruent with correcting this pathological situation, but suffer from misinformation as to the needed remedy. School districts of this type, pressured to improve technical problem solving techniques, for example, cost/effectiveness analysis and reporting, may be further harmed by reactions without gaining any support if the techniques yield a clearer picture of damage to the public. Federal funds may be withheld or voters may reject operating levies. Such attacks may be in order for a system where this sort of pathology is based on conflict involving interest groups which hold inhumane values. However, the situation as defined here would be better served had attention been given to applying good theoretical problem solving showing how and why a group's needs are being affected and could be better met. This action would result in more awareness and improvement of the situation by the presumably well meaning, but naive, staff.

2. Deal with substantive issues without adding to the balance of functional capabilities (growth), achieving greater congruence of sophistication among functions (stability of maturity), or increasing the overall sophistication of functional capabilities (increase of maturity).

The client is willing and able to deal with substantive issues to get temporary functional help. It is trying to better achieve or clarify some goal. It must use existing functional capabilities, plus what the consultant can temporarily supply, to deal with factors that constrain or facilitate its achievement.

For example, the client feels that a school bond issue must pass. The consultant helps the client organize and carry out a campaign of publicity and community involvement to pass the bond issue. The end result is increased financial resources, but not a new, or more sophisticated, capability to increase financial resources again in the future. A substantive issue has been resolved without affecting growth and maturity.

3. Increase its needed balance of functions (growth).

The client is willing and able to deal with some substantive issues to increase its needed balance of functions, without emphasizing an increase in relative sophistication of functional capabilities. The organizational development consultant helps the client grow, but does not attempt to influence maturity. Facilitating and constraining factors are dealt with as a means to accomplishing such growth rather than as an end in themselves.

For example, the client feels the need for a long-range planning capability. Long-range planning never has been tried. The consultant provides training for certain key roles in the organization to use a long-range planning procedure. An office of long-range planning is created (structural change). All staff are introduced to the process in a manner such that they are positive about contributing to it and responding to actions that emerge

from it (normative change). The version of long-range planning procedure introduced is fairly simple, congruent with the characteristics of other functions in the organization in such a situation, several facilitating and constraining factors would undoubtedly have been considered. Substantive issues would have been dealt with to increase growth, but not to affect maturity.

4. Achieve greater congruence of sophistication among functions (stability of maturity).

The client is willing and able to deal with some substantive issues to achieve greater congruence of sophistication among its functions. The forms of some functions are comparatively more, or less, sophisticated than others. Such an organization may be termed as needing a more stable maturity. The consultant helps the client achieve congruence of forms of maturity in its ways of functioning.

One example is an organization with sophisticated capabilities in managing and forms of problem solving, but still attempting to provide information storage and retrieval by hand. The consultant helps them to acquire and implement computer resources to achieve the needed congruence.

Figure 9 charts the maturity of a hypothetical school district which has attempted to introduce a level of sophistication for one function which is far in advance of other functions. A very sophisticated form of technical problem solving has been introduced. Other functions are widely scattered in terms of maturity. Help is needed to achieve a greater stability of maturity. The consultant helps the client achieve a much simpler level of sophistication of the technical problem solving than that originally attempted until other functions can be advanced. The consultant also helps the client manage additional substantive issues generated by the period of increased incongruence.

In both of these examples, constraining and facilitating factors are dealt with to achieve forms of functional capability more congruent with the level of sophistication.

Categories	Functions	Phases			
		Stereotypic	Opinionated	Existential	Creative
Problem Solving	Technical Problem Solving		←	(X)	
	Theoretical Problem Solving		X		
	Philosophical Problem Solving	X			
	Needs/Opportunities Assessing	X			
Managing	Communicating		X		
	Structuring		X		
	Influencing		X		
	Decision Making		X		
	Rewarding		X		
	Coordinating		X		
Supporting Growth	Confronting Apparent Discrepancies	X			
	Training		X		
	Providing Learning Resources	X			
	Providing Performance Feedback		X		
Meaning	Valuing		X		
	Perceiving	X			
	Expressing Feelings	X			

Figure 9. Chart of a Hypothetical School District Lacking Congruence Of Maturity Among Its Key Functions

Growth, in terms of a balance of functions in some form, is not necessarily affected. The overall maturity of the organization is not greatly moved. It is the congruence, or stability, of maturity which is increased within the phase that best characterizes the organization as a whole. Such general congruence of functions is necessary for an organization to function well, whatever its characteristic phase of maturity. Such congruence appears vital for an organization to be ready to progress towards a more advanced phase of maturity.

5. Increase the overall sophistication of functional capabilities (increase of maturity).

The client is willing and able to deal with substantive issues to achieve an advanced phase of maturity in the total organization. Work can be done on increasing the sophistication of forms of functions. The order of functions worked on, and degree of increase in sophistication achieved at each step, can be kept within bounds of overall congruence that are tolerable for the system. The organizational development consultant works to build and maintain this increasingly sophisticated functional capability within these bounds of tolerance. Enough has been said so you can probably produce your own examples for this alternative.

The five alternatives are given below again. The consultant helps the client organization:

1. Decrease pathology in the organization
2. Deal with substantive issues
3. Increase its needed balance of functions
4. Achieve greater congruence of sophistication among functions
5. Increase the overall sophistication of functional capabilities

Organizational Boundaries of a School System

The special appearance that functions and operational characteristics take on at the organizational level are reviewed in Chapter III. One, however, needs to be given special attention now. That is the concept of boundaries.

> Boundaries are the limits which keep an idea, a practice, a role or an individual out of a system. The boundaries of human systems tend to involve expectations, norms, customs and psychological sets. They tend to act selectively in letting some things in and keeping others out. They often relate directly to values and role definitions. At the individual level, boundaries concern personalized involvement and exposure of self. For small groups and organizations the concern is more with norms and customs. For the community and society, legal and political factors are more obvious. At any level, boundaries may be viewed as actions of the system which represent its choosing to be exposed and influenced by external factors.
>
> Is the system permeable in that it exposes itself to many kinds of external influence?
>
> Is it vulnerable in that other systems can force their influence on its internal operations?
>
> Are the boundaries flexible in being able to selectively open the system to influence or block out such influence based on rapid internal decisions?
>
> Are they rigid so that norms or expectations must be broken in traumatic ways to be exposed to something new?
>
> How planful and rewarding does the system make the opening of its boundaries?
>
> Does the system understand and acknowledge its own control over its boundaries?
>
> Who and what act as the gatekeepers of the system?
>
> Boundaries, strategies of entry and temporary relationships across boundaries, raise the most frequent issues for those attempting to influence change in education. (Pino, 1976, pages 66-67)

Since boundaries are a major phenomena that the organizational development consultant must deal with, they need to be looked at more clearly. Boundaries are the behavior of the human system that control whether or not something is allowed to become a part of its internal decision making. Boundaries define the system's identity--

its own understanding of who it is, what it exists for, what it does and does not do, and the ways that it does things.

The boundaries of an organizational system, and of its subsystems, are choice and decision making. A particular division of an organization is identified by the functional responsibilities for which it makes the choices and decisions. For example, the executive board of a corporate organization may make decisions about what it will use the organization's resources for. The financial department will make decisions about assessing and accounting for the use of the resources. A production division will make decisions about applying the resources to get the product. The marketing department will make decisions about how to sell the product.

People in different parts of the organization may control things about which others have to make their decisions, but this is different than participating in their decision making. Much organizational research has shown the importance of having those people responsible for the task outcome also holding the authority to make decisions about the way the task is accomplished. This is the basic principle underlying the industrial concepts of, "management by objectives," and "decentralized management." (Lippitt, 1962) A major reason why these concepts relate to high productivity and good morale is motivational. They respect the human need for a clear identity as well as see the relationship between one's chosen efforts and outcomes.

When decisions are made for people a threat is posed to their identity and sense of worth. This is not to say it should never be done. Sometimes people will desire it and benefit from it. But, it should be clearly recognized that any behavior that represents making a choice or decision for a human system means one is stepping within the boundary of their identity. If this is done, the system is running the risk of someone else's decision representing, or resulting in, a change in its identity. No issue is more critical or loaded with feelings for any human system than its boundaries.

What are the forces that keep things in or out of the decision making--the identity--of an organization and its subsystems? Some of these boundary forces are formal and explicit. Some are informal and implicit. Most obvious are the formal designation of roles and

divisions in the organization. These have explicit areas of functional decision making and responsibility. They are generally referred to as the structure of an organization and are shown on "organization charts." The informal norms, most often arrived at implicitly, are less obvious to most people, but can be even more important as boundaries than the formal structure. A more careful examination of how norms operate in an organization follows.

Norms are the expectations people have about who will do things and how they will be done. They are the assumptions and beliefs about what the "traditions are," and what "the standard operational procedures are in this place." People tend to do things in accordance with their normative expectations, even when it is not personally what they most desire. In fact, in most organizations some norms can be found which are contrary to what most individuals privately desire. For example, in the typical elementary classroom, research indicates (Miles, 1964) that most students would privately like to be more actively cooperative with the teacher. Most believe, at the same time, that the majority of other students desire a lower level of cooperation with the teacher. Most behave according to what they think the others want. If they ever talk about the issue, which is unlikely, they are more apt to support the "assumed" norm than to express their private wishes. This is a phenomena social scientists have labeled "pluralistic ignorance in groups." Knowing how to identify it can clarify otherwise confusing experiences in dealing with organizational boundaries.

Phase of Maturity

Finally, it must be noted the nature of human system boundaries changes in accordance with the phase of maturation the system has reached. A system in the Stereotypic Phase makes decisions and choices according to its stereotypes of right and wrong and how things "are supposed to be done." It's easy to enter such boundaries if you are seen by the system as in line with its stereotypes, e.g., "one of us," or can get identified by the system as an acceptable authority figure. Such boundaries tend to be rigid and difficult to change.

A system in an Opinionated Phase may still make certain decisions according to its stereotypes. But it is open to having experiences that might lead to an opinion, or change an opinion, that becomes a new basis for decision making. A system in this phase will be most touchy about not letting others invade its decision making powers. Such a system at the organizational level has "tried things for ourself," and "reached our own conclusions about what works best for us." It organizes its understandings and ways of choosing in the world around a core value for its "ruggedly independent" opinions. While such boundaries are more open to change, the system in this Opinionated Phase is apt to be more actively on guard against "outsiders" influencing such changes, or against insiders stepping across subsystem boundaries to influence changes.

A system in the Existential Phase switches to almost a reverse of the Opinionated Phase orientation. Instead of being highly defensive against intrusions on its experience that affect decision making, it virtually demands that all experiences be legitimized as possible choices. Such boundaries become highly permeable, but there is a lack of generalizability of the meanings of resulting experiences from one part of the system to another. All meanings are seen as relative ("it all depends on the conditions you were in at that moment") so that everyone has to try things for oneself and "do his or her own thing." Such a system may be highly creative. It will also stumble into acts that can be destructive. It certainly runs the risk of self-destruction as it lacks coordinated efforts at realizing its purpose.

A system that reaches a Creative Phase recognizes and accepts responsibility for the choices that its behavior represents. It also recognizes that its growth has been the result of occasions when it was influenced by others who offered it something different, or beyond, what it already included. Its boundary of choice and decision making has consequently become an orientation toward considering each possible intrusion that comes along, and negotiating the entry of those that appear to be a worthwhile risk. Such boundaries can be entered in ways that are most likely to result in major changes in a system. Such entry typically demands, in response,

maximum openness and honesty of the one who enters. The price and payment for entry tend to be kept clear, and the one who enters is as likely to be changed as the system he or she enters. Creative systems at the organizational level are more of an ideal than a reality, especially in the field of education. How this can act as a problem, as well as an aid, to the organizational development consultant will be explored later.

Commentary: Some Reflections . . .

This may be a good time for you to leave off thinking about systems, subsystems and forces of change and concentrate on yourself as a consultant becoming involved in organizational development processes.

If you're like us, you can be overwhelmed--and even intimidated --by the complexity of organizational processes and forces. You may begin to wonder, "How can I keep all these things in mind when I confront a real problem situation?"

That's the time when it is useful to remember that as a consultant, you must set realistic expectations for yourself as well as for your client. It helps to view organizational consultation as basically a series of very human events...Some responsible person or group in an organization asks you for help, or simply "to take a look at our organization." You meet with that person or a small group--individuals who know more about the system they live in than you will ever know--who feel a concern for problems and want to do something about them. They will value anything you do to help make their responsibilities a little more bearable and to enrich their understanding of the issues at stake as you add your impressions and observations to theirs.

It is useful also to recall from your other consultative experience that much of your effectiveness depends on the quality of the relationship you have with the key people in the client system you serve. Do they sense your interest in them? Can they trust you? Are you really trying to understand their concerns, interests and points of view? If the answer to these questions is negative, it makes little difference how clearly you can label complex phenomena or how knowingly you can speak of organizational processes.

As a consultant working with any system, you are likely to be more effective as you clarify for yourself such matters as:

Who is my client (is it the total system, a part, some executive)?

What are my client's expectations of me?

What are my expectations?

How realistic are these expectations?

Can I understand, and do I share, my client's goals?

Can I accept the boundaries my client assumes as "givens"?

Am I prepared to accept the limits placed on my influence?

What needs and values of mine are at stake here?

To build a contract with your client from such understandings can lay the basis for a relationship less likely to be cluttered with underlying tensions and frustrations as well as more congenial to a range of consultative roles.

We like the idea of considering the organization as a growing, evolving and maturing system. These are natural processes. They can be expected to occur normally unless interference is present. This suggests an overall stance to take as a consultant. You are there to facilitate natural processes--not necessarily to reshape and redirect as if you could not trust what is normally occurring. Your task is to help identify those obstacles and contaminants that interfere with normal functioning. This is a good thing to keep in mind when you think of the "interventions" you might make. There is a time to intervene, but there is also a time to just stand by, keep the energy flowing and let things happen. There is a time to initiate change, but there is also a time to resist change. The key determinant is to do that which facilitates growth, evolution and maturity in the system.

The next chapters deal specifically with organizational processes and consultative strategies. Concepts are presented systematically and compactly. As you read this material (which must of necessity be abstract to cover so much complexity) pause periodically to remind yourself that organizational consultation is basically a human process. As an OD consultant you will not be

dealing with massive impersonal forces, but with human beings who, like you, are not always sure of themselves or their environment, not quite clear on their objectives, and puzzled about how to achieve them. These clients sometimes look to you for analysis and answers, but more consistently they hope to find in you a source of understanding and support so they can better find those answers for themselves.

Barry Z. Posner
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Chapter III: Working at Organizational Development in Educational Systems

Chapter III

The Organization as the Client

The Skills Trainer of PETC-I is most likely to conceive of his or her primary client as the individual members of the training group being worked with. The trainer has done a good job when the skills training exercises result in increased knowledge and skills of these individuals.

This would not be an adequate result for an organizational development consultant. The primary client is the organization rather than the individuals in it. It is all too easy to find illustrations where members of a school district received training that increased their knowledge and skills, but where this new knowledge and skill were never implemented to increase functional capabilities of their school district as an organization. Many times in education, persons with new knowledge or skills only become more frustrated with the nature of their organization and move out of it to a place where their resources are better used and rewarded. An organization, as a human system, is recognized by the organizational development consultant to be more than the sum of its parts. Working to facilitate structural change in the organization, and normative changes

among its members, goes significantly beyond facilitating other changes within those members as individuals.

The organizational development consultant is not asked to compromise any basic values he or she may have concerning the primary importance of the individual in society. It is rather that, whenever doing organizational development work, the consultant accepts being responsible primarily to facilitate changes in the organization as the referent for success rather than changes in the individuals who momentarily operate within that organization.

Improving the Functional Capability of an Organization

There is an important distinction to be made between providing improved functioning in an organization through a temporary consultant relationship, and improving the functional capability of an organization on a permanent basis.

In education, there might always be many necessarily small school districts that will need consultation periodically to provide temporarily increased functional capability. Some kinds of important resources would be too expensive to maintain on a permanent basis. Highly skilled personnel or complex equipment for such functions as planning or evaluating, while needed occasionally, can be far too costly to build into the system. If a system of shared services with other similar school districts is not feasible, then these resources can be gained by using consultants on a temporary basis. There will be a need for this consultant for a long time to come.

The organizational development consultant's work begins when the client system's needs and desires have the potential for providing new or increased areas of functional capability on a continued basis. The OD consultant's efforts frequently might be similar to those of the temporary consultant in working with the client system to recognize its needs, clarify its desires and objectively analyze its potential. Organizational development work emerges clearly when the consultant begins to deal with structural and normative changes to build into the organization, and maintain improved ways of providing functions. Whatever other changes in skills, procedures and human

or technological resources might be introduced, organizational development as defined here also includes changes in structure and/or norms to make the use of these other changes result in improved functioning for the organization as a whole. Note that such improved functioning may be based in some subpart of the organization.

Difficulty in Achieving Lasting Functional Improvements in Public Education

Studies of organizational development efforts in school districts in recent years indicate it is extremely difficult to bring about lasting functional improvements in public education. (Miles, 1964) Some of the major reasons for this are listed below.

Most school districts are at stereotypic or opinionated phases of maturity as organizations. Many school districts appear to be in childish or adolescent stages of growth in terms of the range and balance of their functional capabilities. They consequently have a feeling of weakness that increases their defensiveness toward outside influence. Schools, as human systems, are probably among the most complex kinds of organizations found in our social system. Their product is the vastly complex phenomena of change in human behavior. The complexity of evaluating efforts to achieve such a product, and the vast range of competing interest groups desiring to determine the criteria for such evaluation, present a formidable challenge demanding the best possible resources. Current social changes demand that schools be capable of responding with improvements in a manner that few organizations, even in far less complex fields, have yet shown themselves able to master. Society has not recognized the transitional needs of education or the critical role schools can play in bringing constructive outcomes in these times of historical transition. Citizens are withdrawing support from their schools at a time when resources must be increased to provide massive retooling. A final major reason for lack of successful organizational development efforts in education has stemmed from a lack of adequate training resources to use in helping schools attempt desired changes. This lack has included an extremely limited number of persons sophisticated in both organizational development work and the complex dynamics of schools as organizations. The PETC-III

instructional system attempts to bring basic expertise concerning organizational development to persons already expert in understanding schools.

The Forces of Organizational Change

Organizational development work can be very complex. A helpful way to sort out the complexity of an organizational change situation is to consider the various kinds of forces that can be operating within and among systems and subsystems. For example, consider three different kinds of changes that can occur in relation to forces outside and inside a school district.

The first is *reactive change*. When a high level of pressure is brought by forces outside the district, say by the voters rejecting a tax levy, the district may have to react by changing some of its programs or procedures. The change was not brought about by initiation from within. Those who desired the change did not enter the system to bring it about. They put pressure on the system so those who were doing the decision making internally reacted with a change.

A second situation is one in which there is *interactive change*. This can occur in two ways. The first is when an organization that the school district is dependent on, or interdependent with, changes in a way that automatically brings about a corresponding change within the district. For example, the majority of students may have been using public transportation to get to and from the district's high school. If the public transportation system goes bankrupt, the district may suddenly find it necessary to provide its own busing system for high school students.

The other way interactive change can occur is when the school district enters a collaborative venture with another organization. For example, it might decide to work with a nearby teacher training institution to provide placement for student teachers in preservice training. This can have direct internal change effects by adding to the teaching resources and changing the responsibilities of its own supervising teachers. It can also have indirect effects, such as leading to a modification of teacher supervising procedures, or

introducing new teaching methodologies related to resources brought in by the student teachers.

Proactive change is a third possibility. In this case, forces within the school district initiate its decision making procedures to bring about a change. Persons within the district take action on the basis of identifying needs or possible resources which call for an improvement. For example, administrators might identify a need for improved accounting procedures, or teachers might identify a better way to use their resources in team teaching arrangements, or students might identify a kind of curriculum which needs to be added to better meet their needs. A district with good functional capability for need assessment, analysis and planning for use of its resouces will be continuously generating proactive change. To be successful, such a district needs to be concerned with the effects and side effects such change can have on organizations with which it collaborates and/or organizations that are dependent on it.

Once again, the *phase of maturity* of the organization will relate to its experiences with reactive, interactive or proactive changes. In early phases of maturity, reactive change is apt to be most common. As the organization moves toward advanced phases of maturity, interactive and proactive kinds of change will be added with greater frequency. When forces fostering a potential change of one or another of these three types can be influenced as part of the strategy, the phase of the organization's maturity becomes a major consideration.

The stereotypic system will tend to favor reactive change and resist interactive and proactive change. The opinionated system will tend to favor proactive change and be negative toward reactive or interactive change. The existential system might evidence many kinds of simultaneous interactive changes, but lack cohesiveness and organization to respond effectively to reactive or proactive forces. A creative system will be open to a balance of these three kinds of change.

Alternative Orientations Toward Influencing Change

In a mature system the orientation toward influencing any particular change will vary according to several factors. The first is the kind of problem being faced. One should consider the degree and/or timing of rigorous logical problem solving called for in relation to efforts to create conditions that support spontaneity, serendipity and creative functioning. Within the logical realm, the criteria for solutions would indicate the balance between technical (system technology), theoretical (action research) and philosophical (negotiative) kinds of problem solving.

The reality of most situations is that people have more or less explicit predispositions toward one or another of these approaches irrespective of the kind of problem, or change situation, they face. Such predetermined orientations need to be identified and taken into account in any strategy to influence change. They may be held by consultants, or key individuals in an organizaton, or normative groups representing subgroups in the organization, or the total organization, or by groups outside of it.

Orientations toward influencing change may be primarily based upon previous training, experiences and habit. They are often also related to personality factors and the character types of individuals. In the extreme, individuals can be psychologically blocked from such approaches as working in active collaborative ways or from confronting conflict openly. It can be important to know whether an individual's predisposed orientation involves a fixed personality factor or is more a cultural issue. In the latter instance, it may be much easier to deal openly with the implications of the orientation, though not necessarily more feasible to try to alter it.

Predisposed orientations toward change can be conceived crudely as falling into at least four categories. If considered as the corner points of a rectangle, as shown in Figure 10, most people fall somewhere between the four in terms of a tendency to take an initial approach. It is sensible to be able to move flexibly among them. Watch out for hasty judgments about what may be true of individuals or groups concerning their orientations. To assume a lack of flexibility is prejudicial and potentially misleading. People also tend to get angry if they believe they are being pigeonholed and stereotyped.

Four Orientations	Their Major Characteristics	Label for the Extreme
1. Collaborative Orientation	Open/Trust/Risk Taking	Friendly Helper
2. Manipulative Orientation	Mechanistic/Planful/Controlling	Cool Calculator
3. Negotiative Orientation	Power/Political/Economic	Tough Battler
4. Creative Orientation	Intuitive/Spontaneous/Impulsive	Swinging Mystic

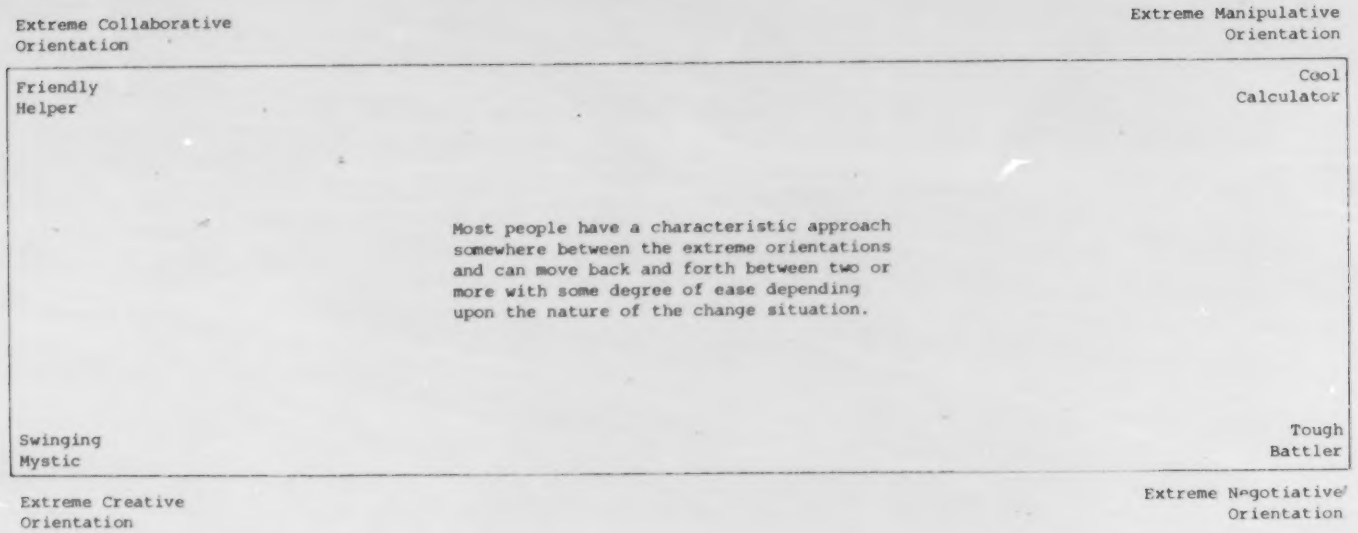

Extreme Collaborative Orientation
Extreme Manipulative Orientation
Friendly Helper
Cool Calculator
Most people have a characteristic approach somewhere between the extreme orientations and can move back and forth between two or more with some degree of ease depending upon the nature of the change situation.
Swinging Mystic
Tough Battler
Extreme Creative Orientation
Extreme Negotiative/ Orientation

Figure 10. Orientations Toward Change

The organizational development consultant should always realize that he or she represents a force that can affect change issues for the client system. He or she needs to recognize whether the client system is dealing with an issue as one of reactive, interactive or proactive change. The consultant also needs to diagnose accurately whether the relationship with the client on this issue is one in which the client perceives the consultant as temporarily operating within the system's decision making, or outside of those boundaries. With further consideration of the phase of maturity of the client system, the consultant is then in a good position to predict the client's reaction as he or she attempts to facilitate improvement of its functional capability. This information can aid the decision on what strategies should be employed to achieve a most constructive outcome.

Choosing Appropriate Roles

For example, the stereotypic school district facing a possible reactive change, and open to letting the consultant influence a decision about how to proceed, might well be a case where the consultant taking a trainer role to increase the client's skills could be a profitable strategy. An opinionated system facing reactive change, and willing to let the consultant make a decision, might represent a situation that would be better handled by the consultant taking a linker role in bringing in a different individual to provide the needed training. There are no sure guidelines. Each situation is unique. The point is simply that consideration of the kind of change, phase of maturity of the organization and the momentary position of the consultant as inside or outside the system's boundary, can help the consultant analyze and predict what might work best in a given situation. A matrix for considering such variables which can affect an intervention is presented in Figure 11 to help illustrate this idea.

This matrix can have further use in considering questions of how to stabilize the forces in or on an organization that can maintain a change once it is clear the change represents a desired improvement. It can especially raise the questions of the consultant's meaning to the system as withdrawal from the client relationship is considered.

VARIABLES TO CONSIDER IN FACILITATING INTERVENTION	PHASES OF MATURITY OF THE ORGANIZATION			
	Stereotypic Phase	Opinionated Phase	Existential Phase	Creative Phase
Boundaries	Generally inflexible decision making procedures, rules and norms; values which are often implicit and not open to examination	Decision making procedures which can be altered on the basis of the organization's own experience; norms and values may sometimes be explored from the inside	Quite permeable, but diffuse subgroupings; easy to become part of a subgroup's decision making; but difficult to affect the total system	Boundaries either an explicit procedure for making decisions or norms and influences that can be questioned by use of existing procedures
Entry	Easy entry if seen as expert; quick rejection if seen as making an error	Acceptance within boundaries of systemic decision making must be relcarified frequently	Entry into system's subparts may be easy; entry into total system's decision making may be very difficult as it is diffuse	Generally negotiated; may take more time but is apt to be most meaningful once achieved
Usual Orientation Toward Consultants	Pushes consultants toward playing expert role; tends to be dependent on them and expect perfection from them	Counterdependent rejection of help from "outsiders" forces consultants to prove self as acceptable as an "insider"	Independent to the extent of ignoring potential resources of consultants; seeks innovativeness or support for its current innovative interests	Interdependent willingness to negotiate collaborative relationships for mutual benefit/growth
Changeableness	Minor changes within the stereotypically limited conception of "correct" purpose and procedures easy; other changes very hard	Major changes can occur over time in a constructive manner if system is allowed to test/assimilate improvements on its own terms	Many changes typically occur continuously; a particular change may be easy to bring about, but very difficult to maintain	Always open to change, but demands evidence of need/feasibility to initiate; demands proof of value to maintain
Usual Kind of Change	Change most often reactive in response to external forces	Change most often proactive based on felt needs of persons within the system	Change most often interactive at subsystem levels; results in disruptive upheavals in total system	All three kinds of change equally possible
Acceptance of Responsibility For Change	Very low; tends to see external forces as responsible	Only responsible when change generated internally	Sees all subsystems as responsible for own changes; thus avoids overall responsibility	Very high; sees own operation as sharing responsibility with other organizations with which it is interdependent
Typical Structure	Represented by traditional hierarchical role groupings	Represented by traditional functionally oriented organizational chart	Represented by diagram combining role and functions with purposeful groupings	Represented by matrix indicating how resources can be regrouped flexibly to achieve changing objectives and use new resources
Typical Norms	Support status quo; maintain traditions; don't "rock the boat"; expect and reward doing things in same old ways	Support competitive success and esprit de corps; punish failure; reject outsiders; deny differences; demand primary loyalty to maintaining the organization	Value experimentation and "doing your own thing"; anything new expected to be good; almost anyone can enter but few can influence	Support collaborative success while facing conflict honestly; openness, risktaking, trust; management by objectives and decision making by negotiation

Figure 11. Organizational Maturity and Variables to Consider in Facilitating Interventions

In considering where the forces exist which will maintain an improvement, it can be helpful to look at each variable from the standpoint of the effect on the system when the consultant is within the boundaries of its decision making as compared to when the consultant is outside those boundaries.

Some Key Issues

While the organizational development consultant may take any number of roles during a relationship with a client, the overall role is best understood as that of a facilitator of the organization's functional improvement. Success would mean that the client system is able to provide this improved function for itself in the future. It would have no future need of a consultant on the issue in question. It would only turn to a consultant if a different improvement in that function were desired, and it did not have mature enough forms of functional capability to meet its own need.

One key issue in defining one's overall role as a facilitator is concerned with the factor of *dependence* in the relationship. To be a facilitator, the consultant must minimize the client's dependency upon him or her whenever possible throughout the phases of the client relationship. As the relationship is terminated, all dependence which the client might have had upon the consultant must be eliminated. The client needs to wind up knowing that it has been responsible for its own growth and is not in further debt to, or need of, the consultnat on the issue in question.

The consultant is working to facilitate the organization's efforts to build in increased functional capability. As just noted, it is critical that the consultant recognize the phase of maturity of the organization.

Stereotypic organizations tend to push their consultants toward playing an expert role rather than that of a facilitator. They start from a premise that there is a right or best way of doing things. If they once accept the consultant, they are apt to be highly dependent unless or until the consultant makes some obvious error, at which point they are apt to be totally rejective. It can be very difficult to help such a client accept internal responsibility for changes.

The stability of maintaining improvement tends to be threatened if they see the consultant, rather than the organization, as having been responsible for the change.

An organization in the Opinionated Phase of maturity is apt to lean toward a *counterdependent* orientation of the consultants. It is apt to lean toward being rejective, at least initially, of anything generated outside its own boundaries. The consultant may need to guard against being put repeatedly on the defensive or into a role of having to prove all things before the fact. The consultant must anticipate a need to repeatedly clarify one's role in relationship to the organization's decision making and internal control. This will demand far more energy than in working with an organizational client in any of the other phases of maturity. It is very difficult to achieve functional improvement in such a system because of this rejective attitude toward outside resources. Such a system will only be changed when those inside the system see themselves responsible for the change. Once achieved, functional improvements are very apt to be maintained. In fact, they are likely to become the basis for new empires being formed within such organizations which can eventually turn the improvement into a dysfunctional feature.

An organization in the Existential Phase of maturity is apt to be overly *independent* in relation to consultants. It is apt to ignore them as potential resources. The value of the resource of a consultant to one part of the organization is not likely to be generalized to another part of the organization. The existential organization has a value for autonomy at the expense of a value for interdependence on issues where shared purpose calls for coordination. While there may be high innovativeness, with a considerable amount of it attributable to consultants, improved functioning lasts only as long as the particular individuals who are providing it see fit to make such a contribution. Functional needs of the overall organization tend to be ignored. The consultant to such a system may feel initially enthusiastic about what appears to be easy entry into such an organization, but soon becomes frustrated by the lack of decision making points and mechanisms for negotiating structural and normative changes to build in improved functional capabilities. Such

a system will probably need to work toward becoming more mature so as to balance out its functioning in relation to purpose. While a consultant may help an organization in existential maturity to carry out worthwhile projects, it is doubtful that organizational development efforts (building in and maintaining increased functional capability for the organization as a whole) will succeed unless that client can be very specific about the functional capability it is willing to commit resources to improving.

An organization which has reached a Creative Phase of maturity is *interdependent* in its orientation. It actively seeks an overall role of facilitator in relating to consultants. By definition, such an organization has achieved self-renewing functional capabilities and would seldom be in need of help from the organizational development consultant. When it does need such help, the consultant can expect little difficulty in finding his or her resources used well and is just as apt to benefit from the relationship as is the client.

It has been stated that the organizational development consultant is attempting to facilitate the organization's effort to improve its own functional capability. A concept of health has been defined for organizations as concerned with: (a) a purpose that relates to human needs, and (b) strength in terms of functional capability, vulnerability, flexibility and durability. The organizational development consultant is attempting to:

Facilitate an increased health of the organization in the areas of functional capability

Help the organization achieve a more stable balance of maturity

Move the organization further along the dimensions of maturity

Health, as it has been defined, is generally a prerequisite to movement through the phases of maturity.

Identifying and Dealing with Organizational Pathology

When severe organizational pathology exists, it is crucial the consultant be able to recognize and deal with it or withdraw from the relationship. Otherwise, consulting efforts may contribute to increasing the destructiveness of the situation.

One of the most common indications of pathology is the existence of a phenomenon that is illogical. This may sound simple. Unfortunately, it often is not. One must first make a distinction between the illogical and the alogical. This is not to say that everything that exists or occurs in an organization must be rational in order to consider it healthy. A degree of impulsiveness, intuitiveness, spirituality and purely affective behavior relates to creative productivity and a healthy wonder in face of the mysteries of being alive. There could be no evolution of meanings without daring to consider the improbable and occasionally explore the unknown. This is not the same as intentionally creating and maintaining forces that contradict each other in destructive ways. To do so goes against logic. It is pathological.

Pathology usually involves an inappropriate (i.e., seemingly nonsensical) expression, or lack of expression of feelings. For example, when you, as the consultant, repeatedly make a seemingly sensible observation or suggestion only to find it ignored, you may well begin to suspect that pathology is involved. Or, if you get an unexpected outpouring of feelings, or a lengthy digression subverting people from the presumed task at hand, pathology is indicated. If you are repeatedly unsuccessful in drawing people's attention to such a process and moving ahead in a manner accepted by all as reasonable, pathology is likely. However, you should always be ready to explore three alternative possibilities to a diagnosis of pathology.

One alternative possibility is that <u>you don't know enough</u> about the situation to understand the logic of it. Your own intervention or style may be the thing that doesn't fit. There is a lot to know about any organization, the people in it and the community of which it is a part. It can take a long time to see the sense of things that are easily comprehensible to those who have lived in the system for awhile.

A second alternative can be that you are not perceiving things in the cultural and/or the developmental perspective of those in the organization. Contrary to the first alternative where you don't yet know <u>enough</u>, in this second alternative you will have to <u>understand things in a different way</u> in order to perceive the kind of

sense they have. This is especially worth considering carefully where factors of maturity are concerned. While simplistic ways of doing things may be costly and seem relatively ineffective, they can make sense if they fit what people in an organization are currently ready for. More sophisticated methods, though available, can be too far out of congruence with the overall patterns of functioning.

The third alternative to a situation being pathological is that social conflict exists. Seemingly illogical phenomena can suddenly make great sense when one becomes acquainted with underlying conflicts. Conflict can involve expression or withholding of feelings as part of negotiative rituals in very misleading ways to the uninitiated.

While the three alternatives mentioned above may provide logical explanations for situations which appeared pathological, it must be noted that they can also be involved in true pathology. Lack of information, differences in culture or maturity between parts of an organizaton, or poor handling of social conflict can all relate to, or be the source of, sick behavior in an organization. The critical difference is whether or not they are generally understood and worked through constructively by people in, and/or affected by, the organization.

As with individuals, a small degree of pathology is normal and inevitable in any organization. As *Sesame Street* has attempted to teach us, "nobody is perfect." In fact, one kind of pathology which consultants need be especially wary of is a belief in, and demand for, perfectionism. This can come in many forms. The consultant can be used as the "tool of reform" who is to lead the organization to greater things by destructive means. Whether the pathology is one of stereotypic autocrats trying to maintain their empires or of starry-eyed idealists demanding conformity to their "free" utopia, the situation is suspect when people appear to be hurt by the change strategies employed. Again, feelings can be a clue to how pathological a situation may be. If people are maintaining a sense of humor in which they can openly share a laugh with each other concerning <u>their own</u> apparent shortcomings, the situation is probably not too bad.

When logical approaches are not working, and the diagnostic alternatives aren't likely, pathology is indicated. Coping with pathology often demands a switch in strategy from logical, planful approaches to some implicit or explicit way of helping people to express and deal with their feelings. It's usually not possible to proceed logically until feelings have been released, related to the issues that caused them and those issues attended to in some satisfactory manner.

Common examples are found in attempts by schools to institute innovative curricular or staffing projects. Initiators may assume that the project will ultimately enhance staff members in their altered roles. They may, however, fail to adequately involve staff in conceiving and preparing for the project. The staff, then, feels anxious about the possibilities of roles being weakened or about their ability, as individuals, to maintain status and rewards in an assumed competition for altered roles. Staff energy needed for learning and experimentation is drained off into various forms of resistance. Instead of opening up the issues to free energy for problem solving and seeing whether the pathology of the situation can be removed, the project initiators are likely to press for conformance and appearances of success for the effort they have risked. Such pressures automatically increases resistance. "Uncooperative" individuals may then find themselves being manipulated and/or removed. This may hurt them in their professional progress and commitment while also costing the system loss of their resources.

One of the most important aspects of coping with pathology can be the legitimizing of resistance. In illogical situations where people are being hurt, or fear being hurt, they are usually defensive. Although such defensiveness may seem to compound the difficulties of the situation, it can represent fairly reasonable ways for people to protect themselves. Attacking such defenses can greatly increase tension to a point of making it impossible for people to respond constructively. Accepting defensiveness as legitimate, and supporting it to the point of involving people in exploring its existence and meaning, can be a step toward improvement. It is often a necessary step to relieve feelings and move toward identifying the underlying issues of the pathology.

Elimination, or improvement, of pathology generally occurs when feelings are relieved, functions which were blocked proceed, and people come to recognize what was actually occurring as contrasted to their misconceptions. Once reality is recognized and accepted as such, however disagreeable that may turn out to be, the situation can be converted from pathology to one or another kind of problem solving if desired. It can be noted that the reality is not always disagreeable. The awareness of it is sometimes all that is required to correct things.

While organizational pathology can be conceived as having many parallels and analogies to psychopathologies that occur in individuals, there are also some distinctions that should be noted. One is that pathology can exist in an organization made up of perfectly healthy individuals. Individual character types are especially susceptible to stress of certain organizational conditions without necessarily being the cause of them. Treating organizational pathology frequently involves changes in norms or structure of the organization rather than seeking any sort of fundamental changes in individuals. When organizational pathology does appear to be causally related to the pathology of one or more individuals, the consultant would be well advised to seek clinical advice in considering a course of action.

Phases of Consultation as Major Kinds of Work

An organizational development consultant may sometimes feel critical about the nature of the organization being worked with in terms of its phase of maturity. He or she must be willing to work at strengthening the immature organization under the assumption this will help it reach a point where it is more capable of moving to the next phase of maturity. This will be explored further in this chapter when considering instances where the consultant would refuse to work with an organization.

Thus, an organizational development consultant might help a school district improve its accounting procedures or help it to adopt a new science curriculum, even though seeing that district as immature and highly ineffective in the manner in which it generally provides learning experiences for its students. Assuming the

consultant cares about the overall purpose of an educational system, it would have to be further assumed that he or she was strengthening functions of this generally poor organization in the belief that such strengthening was necessary before greater maturity could be achieved. In this transitional era of change and values questioning, such assumptions need to be dealt with explicitly.

It will be noted that the phases of consultant work for organizational development are best understood as major emphases of seven kinds of work. Each must occur during the time periods of work with the client. (See Figure 14 in Chapter IV for an illustration of this concept.) As the overall role of the organizational development consultant needs to be a facilitator, and because of the special difficulties this can raise depending upon the stage of maturity the organization is in, it is worth giving special attention to the work of establishing, and repeatedly reestablishing the client-consultant relationship in an organizational development effort.

Changing the functional capability in an organization often brings about corresponding changes of role, status, decision making, power and responsiblity. These tend to be loaded issues for people and great clarity concerning the consultant's part in bringing about such changes is generally needed.

Maintenance of an improvement usually demands the client accept responsibility for having brought about the change. This increases the need for clarity about the consultant's relationship to the client concerning the change. Each action step, including different roles by the consultant at different times, may need to be clarified in advance with the various concerned subsystems of the organization. It may need to be carefully documented for later review. Setting, and living up to, clear expectations concerning the consultant's actions and role taking may be most vital. The client generally needs to know what the consultant is going to do or not do, why the consultant is going to do it, and when the consultnat is going to stop doing it. Although there can be exceptions, it is generally wise to follow a strategy of openness in this regard for organizational development work.

Recognizing Effects of Values and Biases

Ideological values and biases will guide the consultant's efforts to facilitate a client organization's growth. It is important to both parties that the consultant recognize his or her values and biases as well as recognize how they tend to influence. This may be especially true in terms of consultant notions of ideal organizational behavior which are too advanced for the organization to achieve, or even comprehend.

In making the decision to agree to do organizational development work with a client, a consultant becomes committed to strengthening the functioning of that client organization whatever its phase of maturity. The client will be justifiably confused, and probably angry, if the consultant demands behaviors that would necessitate a more advanced phase of maturity than it has achieved.

There are case studies reporting failure in organizational development work with school systems where a lack of this distinction may have been a major contributing factor. If the consultant is uncomfortable in working with a school system that is stereotypic or opinionated in its orientation, he or she has a responsbility to either find ways to cope with this discomfort or avoid working with such systems. The best way to cope is probably to work as part of a team of organizational development consultants that includes individuals who do not have difficulty on the same issues.

Here is an example of a problem that occured when consultants failed to recognize this distinction. One educational organization, in an opinionated phase of maturity, attempted to implement a matrix structure of organizational functioning. It failed to recognize its lack of skills. It lacked individuals with adequate skills of relating interpersonally, of using processes for planning, of analyzing and of decision making. Correspondingly, it had a failure experience in attempting to use a matrix form of organization. The consultant was discredited and the organization wound up disillusioned about some of its potentially worthwhile ideas. The organization swung back toward a more stereotypic orientation, scapegoated several of its individual members, lost some of its more capable personnel, and ended with reduced functional capability as well as less potential for moving along the dimension of maturity in the immediate future.

It is not meant to imply here than an organizational development consultant would work at strengthening the functional capability of any educational organization indiscriminately. A question of major importance to consider is--when would a consultant refuse to do organizational development work with a particular client? It is assumed that such a refusal in any given instance would be based on one or both of the following reasons.

The first reason would be that the organization in question is operating in a way which is harmful to individuals who are part of it or are producing a product that does harm to its consumers. If a school district, for example, is not helping individual students mature as independent human beings, while it is helping them increase their knowledge, or if it operates in a way that keeps some of its staff members in demeaning kinds of roles, many consultants would reject work with such an organization. The point is that the consultant would not want to help an organization become functionally more capable of dehumanizing people. When such an organization is identified, there may be times when the consultant would make an effort to confront it or to contribute to putting it out of business if there appeared to be no hope of movement toward a more constructive orientation.

A second major reason for refusing to work with an organization would be based on one's concern for not risking damage to it when the consultant's ideological needs are in conflict. There may be some forms of stereotypic prejudices, or opinionated biases which precipitate feelings which make it difficult for a consultant to work constructively. If, for example, a school district appears capable of growing and moving in constructive ways, the consultant still may elect not to work with them because he or she lacks the tolerance to live with them during the time when they are retaining behaviors which are personally distressing. If the consultant believes an attack on such behaviors would only heighten resistance to change and reduce potential for constructive growth of such an organization, one might refuse to work with the system, but attempt to help them find a consultant appropriate to their current needs. In this era of social change, such decisions can be extremely difficult as well as important.

Complex Systemic Change

Earlier, a system was defined as a number of parts that function individually and in relation to each other to realize a purpose. Human systems are often thought of as existing at levels ranging from the individual to societies, or even the whole world. A system on a more encompassing level, such as an organization, is made up of lower level subsystems including groups and individuals. Groups are both formal and informal; individuals may belong to varieties of different groupings. The organization is a part of the even "higher" level system of its community (or communities) and its society. A change in one part of a system will automatically affect some counterbalancing changes in other parts. By definition, this effect will be true to the extent that the parts function in interrelated ways. This is sometimes referred to as an "organic" view of systems.

Change in systems, or systemic change, at the organizational level is complex. It is generally helpful to be able to isolate a clear need, issue or strategy. The effective consultant often helps the client find simple, small-scale efforts that have comparatively high payoff rather than emphasizing large complicated change programs. This does not mean that complexity is ignored or forgotten. Even seemingly simple interventions should be considered in the context of the complex interrelationships of systemic change.

Structural Linkages Between Roles and Subparts

A major factor to consider in complex systemic change is structural linkages. Organizational structure is comprised of the roles, divisions and various levels of work groups. Mann (1961) has referred to these groups as work families. The major parts of the formal structure are generally presented on organizational charts. The informal structure also has to be taken into account. Linkage occurs when people of different roles or parts carry out functions and make decisions together. Sending communications to each other does not satisfy the definition of the term linkage. Building on a definition of linkage proposed by Havelock (Havelock, 1969), the authors of PETC-III believe that structural linkage in an organization is likely to be most effective when different roles and subparts achieve valid,

usable understandings of each other's processes. That is, people in one part of the organization know how and why people in other parts do their jobs. Such knowledge provides the ability to interact effectively.

The formal and informal structure of an organization needs to provide the opportunity for people to interact effectively. Mann (1961) believes that organizations need special advisory and decision making groups composed of representatives of other groups found throughout the organization, both horizontally and vertically. These structures provide opportunity for the expertise of all role groups to be included in decision making, so implementation of decisions is more likely to succeed.

Mann proposes that there be individuals who have overlapping membership in various groups so as to provide linkage between them. Such individuals thus fill "link-pin" roles. For example, a principal would be considered a link pin between the school building faculty and a district-wide administrative council. He or she would be responsible for representing certain aspects and interests of each to the other.

To operate effectively, Mann believes it is important that "organizational families" be developed before the link-pin roles are filled. Such "families" need to share common understandings of organizational purpose. They also need common understandings of how such family groups work together with each other. These are small groups who work together on a regular basis. "Vertical families" need to be established and linked first. Then, horizontal, lateral and diagonal families lace together to build the link pins.

Below are illustraitons of two kinds of structural linkage in an organization.

1. Representative Linkage by Administrative Cabinet. An educational organization may have an administrative cabinet which includes representatives of all role groups in the organization: custodians, secretaries, students and teachers as well as administrators. In this structure representatives of all parts of the system contribute to decision making. It groups across several vertical lines of the structure.

2. Linkage by a "Linking-Pin" Structure. This structure creates "link-pin" roles between various policy and task groups.

A "link-pin" role is generally filled by a person who leads a decision making group at one level and contributes to another decision making group at another level. It provides horizontal groups that link each vertical level.

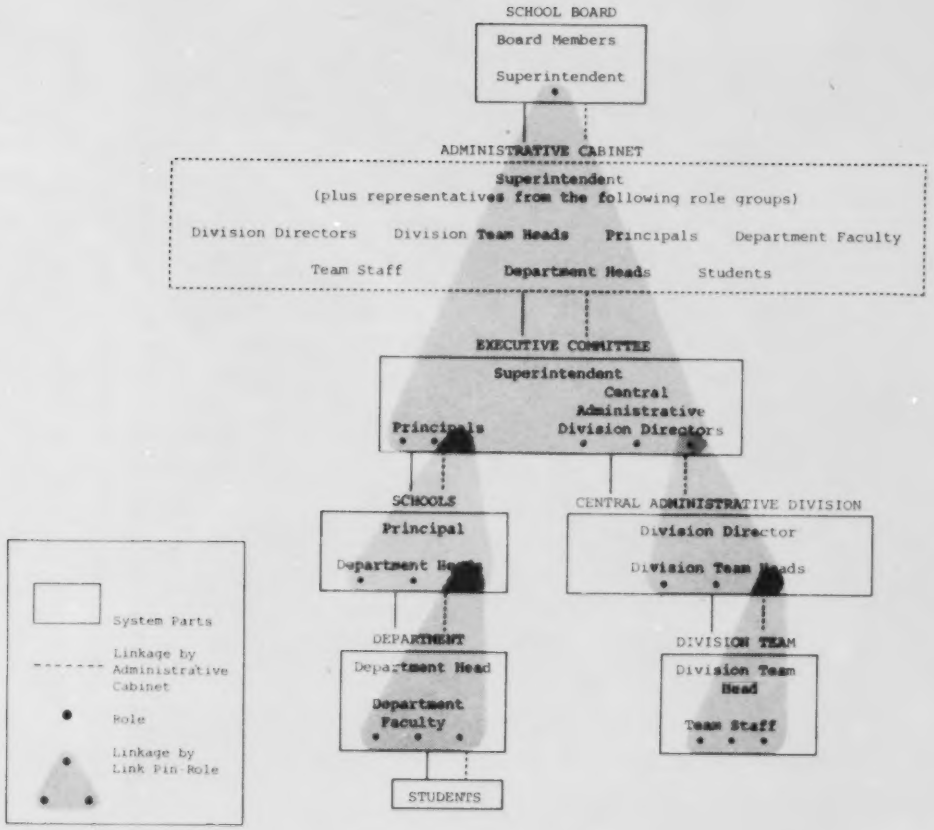
Figure 12 indicates how these two kinds of structures can provide linkage in an organization. The figure shows both structures of one organization. Both kinds of linkage may be in operation simultaneously in a single system.

Figure 12 lacks a link-pin role between students and either faculty or central administrative staff. This omission was purposeful in order to suggest that meaningful linkage of students to the organization's formal functioning is seldom provided, even though there is contact between them. Some school districts have provided notable exceptions. Where faculty and staff have enough maturity, provision for direct student involvement can be extremely productive.

Normative Congruence Between Roles and Subparts

Another major factor to consider in complex systemic change is the extent to which there is congruence of norms between roles and subparts of the organization. In other words, do people have similar expectations about how things will be done? Do they act, and provide sanctions, in accordance with such shared expectations? In line with Havelock's idealized kind of linkage, do people understand and interact effectively with each others' processes? Are there norms that support sensible differences between roles and groups? (Katz and Kahn, 1966)

This is not to imply that all roles in an organization should do things in the same way. This would ignore both the differing functional capabilities needed from different roles and the value of pluralistic differences between individuals' styles and orientations. Rather, the idea is that individuals have shared expectations of how people will do things. They accept and understand each others' ways. There is often some lack of clarity and congruence within groups concerning norms. Lack of normative congruence is likely to be a barrier to building in or maintaining increased functional capability. It may be necessary to attempt to influence norms as an early step in the change effort. Confronting the client with evidence of low



[1]This figure represents only a cross section of a district. Within a district there would be many such units reporting to the Executive Committee.

Figure 12. Two Kinds of Structural Linkage in an Organization[1]

congruence in norms may create, sometimes even force, an openness to change which turns out to be constructive. High congruence is likely to facilitate change unless the congruence represents collusion to maintain the status quo.

Stability of Maturity: Congruence

A stable maturity is present when the capabilities for several key functions indicating the phase of maturity of an organization are at the same level (i.e., all stereotypic, or all opinionated, see Figure 5). This is a major factor to consider in complex systemic change. It is mentioned several times in these materials and is worth repeating and considering from several angles.

Individuals With Less Advanced Maturity. The maturity of individuals in key influence roles should be considered in relation to the maturity of one to another, their part of the organization and the organization as a whole as well as in relation to the systems in the community. When a role is occupied by an individual whose personal phase of maturity is less advanced than others, that person will almost surely inhibit organizational improvement efforts. It generally will be desirable for such an individual to move out of key influence roles until he or she has reached advanced maturity. Such an individual is not likely to recognize the issue and/or agree with this recommendation. Hopefully, the consultant may be able to help the individual and others in the organization see that it is in everyone's best interest, including the individual in question, for such a change to be made in a constructive way. Of course, this may not be possible. Confronting the issue as one of social conflict may then prove the wisest course, if it can be dealt with at all.

A critical issue for the consultant to be aware of, and for the consultant to help the client recognize and deal with, is that of how individuals get into such key influence roles. If the organization is to mature, it needs these roles filled by individuals whose personal maturity is at, or beyond, the organization's overall phase of maturity. Allowing a comparatively immature individual to occupy a key influence position is likely to cause that person to become defensive and block any movement to greater maturity.

Individuals with More Advanced Maturity. It can also be a disservice to have an individual in a key influence role whose level of maturity is far advanced compared to the rest of the organization. If such an advanced individual is not aware of the issue of maturity and its possible implications, others may become confused, defensive or antagonistic in response to that person's orientations, ways of doing things and interventions introduced into the system. Such advanced individuals are likely to be seen by others as "too progressive," "ahead of their time," and "not apt to last long in the system." If they and their organization are not helped to utilize this advanced maturity, they tend to leave. The loss can cause disillusionment for such individuals as well as loss for the organization. It is generally true that an organization must be entering the existential phase of maturity before a wide range of maturity in individuals can be tolerated, and must be at a creative phase before such a range of maturity can be managed in totally constructive ways.

Subgroups with Different Maturity. The consultant will also need to consider the comparative maturity of different subgroups in the organization. As with individuals, the organization as a whole is likely to benefit most when the most influential subgroups are the most mature--so long as discrepancies are not too great. When a subgroup achieves a more sophisticated form of functional capability, a number of difficult issues may emerge. Such an advance in maturity may not be understood by other subgroups and trust may go down. Ingroup/outgroup rivalries may begin or be increased. The increased functional capability represents an inevitable change in the power situation. Rather than adding to the organization's overall power, it may upset a balance of power among subgroups.

Generally, it is better for lagging subparts of the organization to be helped to achieve a particular functional improvement. Of course, there are many times when this is not possible. One major problem is that the least mature parts of a system are often most resistant to change. The consultant needs to recognize the temptation to intervene with the more mature parts of the organization because they appear "most ready" for them. No matter how ready and

inviting they seem, efforts may backfire if other parts of the organization are too far behind for the organization as a whole to be able to build in and maintain the improvement. A strategy of having more advanced groups help less mature ones achieve greater maturity may work well if power and trust issues can be dealt with adequately. On the other hand, consultants may be easily coopted and used inappropriately by such groups.

Using Figure 5, the consultant can consider the congruence of the organization's capabilities across functions. Some functions are likely to be provided in more mature ways than others. Even if key individuals and subparts of the organization are fairly congruent with each other on the maturity of each function, differences of maturity between functions may exist. Communication may be existential while theoretical problem solving is opinionated, for example.

Maturity and Strategies for Changing an Organization

Figure 8 presented variables to consider in facilitating interventions which are related to the organization's phase of maturity. Some additional strategy ideas were just presented based on the stability of maturity (i.e., congruence of capabilities between individuals, subgroups and functions). These ideas included the general importance of:

1. Not having individuals of comparatively less advanced maturity occupy key influence roles--either increase their maturity in needed functional areas or remove them from such roles

2. Not having comparatively advanced individuals who are unaware of issues concerning maturity occupy key influence roles--help them to understand and deal with the implications of their difference or to leave such roles

3. Helping the organization recognize how individuals get into such key influence roles and how to include appropriate maturity of more advanced groups

4. Being cautious of the temptation to further advance subgroups that are already more mature simply because they are more receptive

An extremely important diagnostic issue for the consultant is the need to distinguish between the organization which is "immature" in its functional capabilities (or "adolescent" in terms of simply lacking a proper balance of needed functions) and one which is pathological in terms of its purpose or procedures. Generally, strategies to facilitate improvement of a "young" and/or comparatively "immature" organization should be open and collaborative. Such an organization will inevitably be doing some things that do not provide well for the human needs of either their clients or their staff members. In a supportive strategy, they may be willing to recognize this and work toward improvement.

An organization that includes in its purpose and orientation a desire to deny some human needs is pathological. It will not expose these desires if openness is thought of as a threat to the organization's power. Pathology due to prejudice and discrimination or neurotic power needs of individuals may have an appearance similar to a condition of youthfulness or immaturity, but calls for very different change strategies. Strategies of negotiation, confrontation, advocacy or attack may be called for.

Strategies for Changing Organizational Maturity

The single most important strategy consideration in organizational development work is that of "knowing where the client is" and facilitating interventions that "stay with the client." In other words, as the consultant works to help the organization build in and maintain an increased functional capability, interventions need to be appropriate to the growth phase of maturity and stability of maturity of the organization. When the change goal is to advance the overall maturity of the organization, some special strategy considerations are important.

It is probably unwise to attempt a major advance in the maturity of one or more organizational functions unless the organization is reasonably "healthy" and "stable" in terms of congruence of existing functions. A major exception to this can exist at times of crisis when it may be possible to achieve revolutionary, rather than evolutionary, progress.

Sequence of Advancing the Maturity of Functions

Achieving advanced forms of capability on the key functions of Figure 5 is probably necessary before moving ahead on other functions. The "Managing" functions will probably need to be secure in a new phase of maturity before the others can be maintained at that level. "Problem Solving Adequacy" functions must generally be improved before "Coordinating" can advance. Significant changes in the maturity of perceiving and valuing will probably occur as a result of feeling secure in experiencing advanced forms of the other functions. A general guideline should be to first work on those functions most likely to cause effects in other areas of functioning.

Anticipating Disruption

It can be important to help the organization anticipate and deal with incongruity as some functions advance in maturity before others. Likert states that in industry experience has shown a year or more of disruption, with occasional decrease in productivity during the transitional period, needs to be anticipated before the benefits of greater maturity begin to be evident. (Likert, 1973)

Providing a Clear Image of Improvement

Patience with the expectations of the client needs to be supported by a clear image of what the organizational improvement will look like and the eventual effects it can have. An incentive and a form of support is the use of a model which provides a positive emphasis on the progress and gains instead of emphasizing what is missing or failing. Lippitt and Schindler-Rainman, for example, have advocated a strategy based on creating "images of potential" in the client system's awareness. (Lippitt, 1972; Schindler-Rainman, 1972) Likert has pointed out that only

when specific factors of the model are clear to the client can feedback to guide and support progress be provided. Likert's "school profiles," based on his "patterns of management," illustrate the kind of model which can be helpful. The matrices and models in the PETC materials might also be used. (Pino, 1976) However, the consultant might well be cautious in using a model such as the "phases of maturity." Systems in early phases of maturity will, by definition, react defensively because of their way of valuing and perceiving. It may be most helpful to use a partial presentation of this model with such systems so they are not confronted with definitions of functioning that are beyond their ability to perceive and value.

Leadership Style

An approach that has proved useful in helping the client organization consider changes and create expectations of desired models is to talk about "leadership style." In this approach, a distinction is made between the personal style of individuals in key roles of authority as compared to the ways people throughout the organization operate so that functions of "leadership" are provided. In short, what one does is talk about the different forms of functional capability as different "leadership styles" without necessarily referring to them in terms of organizational growth, health or maturity. It seems probable that fairly advanced maturity is needed before concepts such as maturity can be meaningful for a client. People are more likely to risk growth experiences when they feel strong. Seeing constructive possibilities of trying a new leadership style is more apt to motivate action by persons than recognizing one's system as comparatively immature!

Distinguishing Between Two Levels of Improvement

Ways to assess improvement are important for any change model provided for the client. The consultant should help the client distinguish between two levels of improvement. The first level is improvement in ways the organization functions (e.g., added functions, better balance of functions, better congruence between functions, more mature forms of functional capability). The second level is the effects of changed functioning (e.g., better problem solving adequacy, more openness of communication, greater flexibility). The first level would ordinarily be expected to lead to the second, although it can sometimes be an end in itself where improved quality of living in the organization is needed. Research has shown that schools which operate in Likert's advanced management patterns (high maturity), have better morale among staff and students, higher student academic achievement, better attendance and less vandalism than in management patterns considered less mature. (Likert, 1973)

In addition to the variables presented in Figure 11, some implications for strategies need to be considered which relate to the level of maturity which a system is approaching. The perspectives and capabilities characteristic of each phase of maturity imply the following guidelines.

1. A technical problem solving approach will likely be most helpful in starting a system advancing from a stereotypic phase of maturity (when it is assumed that there are definable, correct answers for everything important) toward the opinionated phase. (Corrigan, 1969)
2. As capabilities of the opinionated phase are achieved, emphasis will need to switch to the theoretical problem solving approach (as the client becomes more concerned with the question of, "What is true about what is right for us?").

This approach will continue to influence movement toward the existential phase capabilities. (Jung, 1973)

3. As these capabilities are achieved, emphasis will shift to the philosophical problem solving approach (in an organization committed to experimentation and confronted with the dilemmas of trying to legitimize pluralism). (Groth, 1977)
4. High level applications of all three approaches, and the ability to move back and forth between them will characterize advancing to a creative maturity.

Transition From Stereotypic to Opinionated. The transition from stereotypic to opinionated maturity may be most vulnerable to influences external to the educational organization. A stereotypic school district simply lacks the capability to disregard its community if members of that community desire the status quo. At the same time, such a school district will not be capable of resisting pressure from the community when that pressure is to become more mature. Community conditions, and community involvement in change strategies, are likely to be crucial in transition between these first two phases.

In moving to the opinionated phase of maturity, the organization must have time to experience personal success and community approval of its change efforts. The transition to the opinionated phase has truly occurred when people in, and concerned with, the schools can believe that they are responsible for improved functioning--i.e., they have generated some "ways that work best for us," and "we can do it our own new ways in the future." The strategy for this transition needs to provide feedback and the opportunity for the clients to respond to it.

Transition from Opinionated to Existential. The transition from the opinionated to the existential phase of maturity will also be affected by community pressures and concerns. The opinionated organization is more likely to inhibit its own chances of maturing by being overly resistant to any outside influence attempts, than to be easily pushed by the community. This system combines self-satisfaction about its own achievements with defensiveness stemming from the vulnerability of its still comparatively low level of

functional capabilities. Its tendency toward a counterdependent orientation calls for a strategy in which community support for experimentation and relative freedom from demands for change may be most likely to facilitate transition.

Unfortunately, although many schools could be approaching this transition during this era, external demands at local, state and federal levels are increasing. Resulting conflicts are being handled in ways that raise tensions and polarize resistance, blocking movement toward the maturity levels needed before negotiation of differences can be a constructive and valued process. The need for the system to experience enough freedom to be able to recognize the inadequacy of the stereotypic and opinionated orientations and the excitement of relativistic possiblities is frustrated, making a transition to a higher level of maturity very difficult to achieve. Reactionary behavior is more common.

The wide range of experimentation many schools experienced in the 1960's could be ideal preparation for achieving greater maturity if adequate freedom is now provided. If it is not, educators who would otherwise have provided leadership for this transition may react by leaving the field of public education!

It is important to note that individuals or groups who achieve an existential phase of maturity are unlikely to regress or allow themselves to be held back. This likelihood represents a critical turning point in becoming oriented towards continuous change. It can sometimes aid, but will at other times hinder, efforts to achieve a constructive change strategy. Commitment to explore and grow is generally helpful unless it is implemented indiscriminately. If this commitment is too far out of line with the maturity and expectations of other systems, it can produce a backlash of resistance. If it is too unrelated to the system's purpose, it can prove self-destructive. If it undermines the patience usually needed in a long-range strategy, good people may be lost and the more mature parts of the organization may collapse before change can be stabilized.

Transition from Existential to Creative. One critical factor in strategies of facilitating the first two kinds of transition is the presence of key individuals to provide particular kinds of

leadership. Leadership needs to change in the transition from the existential to the creative phase, where an orientation and capacity for shared leadership must be achieved. In these phases, need and value for strong leaders gives way to allowing for full utilization of each individual's resources. Creative maturity is pluralistic rather than collective in nature. As such, it is capable of infinite differentiations of individual growth. The strategy for transition to the creative phase correspondingly necessitates the capability to utilize different kinds of logical problem solving appropriately as well as being open to nonlogical kinds of problem solving. It is only when human systems are finally able and willing to conceive the unimaginable that awareness of it, if it does exist, can occur. This is the creative orientation.

Two final strategy considerations are worth some special attention. They concern *confrontations and rewards* within the system. A confrontation is the awareness that things are different from what was believed or expected. Confrontations tend to be perceived negatively from stereotypic and opinionated perspectives. They are more likely to be appreciated and valued from existential and creative perspectives. Confrontations are generally important to growth. Interventions may be needed to precipitate them. The consultant needs to be careful to use strategies that provide the client system in an early phase of maturity with a true awareness of the discrepancy rather than a feeling of personally being the subject of confrontation. If the client feels condemned by the consultant, or embarrassed at feeling exposed in the consultant's presence, both the potential of learning from facing the issue as well as the consultant/client relationship are in jeopardy.

The way rewards are provided in a system can be a major aid or a block to strategies for changing the organization. If the change is an attempt to build in and maintain increased functional capability (i.e., an organizational development effort), various individuals will need to gain new concepts, skills, orientations and behaviors. Gaining them does not assure they will be used. Whether people try them, and continue to use them, will depend on experiencing rewards for their efforts.

Even when the trainees valued their learning, training interventions often fail to produce organizational change because a reward system is lacking for applying what was learned. The same thing may happen when the system values what trainees have gained, but fails to reduce the rewards and sanctions which maintain old practices. People in the system then find themselves overloaded with practices which are additions to, rather than substitutes for, old ones. Or, some in the system may feel very positive about the new practices attempted by their colleagues, but fail to express their positive feelings in the form of any tangible reward. Those who risked trying the new practices give them up without ever realizing they were valued. The effects of the rewards in a system can never be taken for granted. They should be carefully considered as part of any organizational change effort.

Identifying and Defining System and Subsystem Boundaries

An educational organization such as a school district is a system which includes a number of subsystems. The norms and structure of the organization are generally maintained by these formal and informal groupings of people.

The organizational development consultant must be concerned with the boundaries of the system as a whole and also with the boundaries of each subsystem within the organization. If the consultant tries to help the school district improve such functions as reporting to parents, using community resources, implementing new curricula, improved coordination of planning with a state agency, or communicating needs of a bond issue to the community, he or she will be dealing with boundaries of other systems as well as the boundaries of subgroups within the organization.

The terms "ingroup" and "outgroup" can be helpful in thinking about working with these different systems and subsystems. When working with an organization, the consultant is dealing with a complex network of boundaries, e.g., influence and decision making, among and between these groupings. For example, in one school district acceptance of the consultant by administrators may

automatically mean that the consultant will be viewed positively by custodians but negatively by teachers. In another school district the reaction may be just the opposite. In still another school district, acceptance within that organization might automatically mean that the consultant is viewed negatively by some minority groups in the community. The consultant obviously needs to proceed with caution. It is important to diagnose the multiple meanings a particular relationship with one group can have to the consultant's potential relationships with other groups or subgroups.

As a consultant to the organization, the important thing to remember is that it is the organization's functioning which he or she seeks to improve. A common error is to achieve improved functioning of a subgroup while simultaneously increasing ingroup/outgroup antagonisms between subgroups. A subgroup that has improved its skills might be highly enthusiastic only to find that the organization as a whole rejects the changes which they have achieved. This type of problem raises the frequent importance of what some have come to call the multiple-entry strategy in working with organizations.

Power and Organizational Politics

Power is the ability to affect the meeting of people's needs. Ability to contribute to meeting another's needs gives one's power the meaning of personal worth to that individual. Ability to hinder the meeting of another's needs gives one's power the meaning of potential threat to that individual. Often, but not always, the two meanings go together. It's easy to see why most of us have strong ambivalent feelings toward persons in organizational roles seen as superior to ours. It's also not difficult to imagine why trust, the willingness to be influenced, has been found to be an important variable in organizations. This is not to imply that it is good for people to be indiscriminately trusting. Some of the major distinctions to be aware of are shown in the following paragraphs.

An obvious issue is the distribution of power between individuals, roles and groups in the organization. In healthy, and more mature, organizations there is a balance of power appropriate to responsibilities rather than concentrations at one or a few points. A

related, but less obvious issue, is the total amount of power in the organization. When all people in a school feel that neither they, nor anyone else in the setting, can influence things, a situation of low power exists. In a study of American high schools experiencing interracial and intergenerational crises, Wittes (1970) found low power conditions to be especially problematic.

Another issue concerns informal networks which may operate in an organization. In immature and/or pathological organizations they may be more important than the formally sanctioned structures and procedures for decision making. Informal power cliques may grow to control areas such as student extracurricular activities, curriculum selection or personnel recruitment. Individuals may use "pull" with decision makers based on personal relationships for such things as job placement. People in managerial roles can make a show of using shared decision making or fair employment practices while actually resorting to manipulation and "back door politics." This usually becomes evident to others fairly soon with very negative consequences for staff morale and productive functioning.

It may be important to look for a distinction between personal power needs and practices of individuals versus power issues that have their sources in the structure and norms of the organization. While a given situation may involve both, the differences can also be fundamental. Careful diagnosis is likely to be essential before attempts are made to intervene.

For example, a principal may not be involving teachers in decisions on an issue such as lunch hall assignments. Considerable grumbling about this may be heard in the faculty lounge. What are some possible reasons for this situation? It may be that this principal is an autocrat who doesn't trust others to share power. Or, it may be the way the school district operates causes this principal to be so overloaded that time and energy have not been available to work with others on this issue as yet. Or, it may be that teachers in this building have avoided opportunities to share in working on this issue, preferring to gripe and act as though they were being abused. It's generally wise to look carefully before leaping into confronting power issues.

Power was defined as the ability to affect the meeting of people's needs. Such human needs take many different forms. Power, correspondingly, exists in a tremendous array of forms. It can frequently be enlightening to analyze a puzzling issue in terms of its power implications. Consider the answers to questions such as those which follow.

What are the relevant needs of those involved in this issue?

What alternative ways might they be affected?

What different ways do people group together in terms of self-interest on those needs?

How clear and open are people for themselves, and with each other, regarding their needs and power in this situation?

What is the greatest real concern, the substantive issue (e.g., what next year's room assignments will be) or, the power dynamics (e.g., who determines room assignments)?

Several training systems such as *Interpersonal Influence* (Emory, 1973) or *Social Conflict & Negotiative Problem Solving* (Groth, 1977) help participants become aware that issues of power and organizational politics can be varied and complex. Even those training systems, however, provide only a basic introduction to this area of concern. Without repeating their content here, anyone desirous of doing OD work in education is strongly urged to first gain experience in this area.

Because of its potential impact on human needs and development, and because of the placement of public education in America's social system, education in this country is an exceedingly political enterprise. The implications are vast and only beginning to be recognized. They range from internal phenomena of empires and empire builders to intracommunity battles over local control of schools to external effects of voters rebelling against property taxation with little regard for the effects of their rebellion on their school system. Consultants are needed who can help make dealing with these issues clear and clean. Consultants who are naive about power and politics do more harm than good irrespective of whatever else they have to offer.

A final note regarding power and politics in education seems worth sharing. Americans generally seem to have been raised to value a strong sense of fair play and collaborative teamwork. They have a tendency to equate power and influence with being autocratic. In this confusion, many educators have become hesitant and uncomfortable in

looking at, much less dealing with, issues in this area. As defined here, power and influence is inevitable and important in all interpersonal relationships. Conflicts inherent in differences of self-interests are equally inevitable. A degree of related tension will show itself in any healthy organization and should not be confused with pathological conditions. In fact, one kind of pathology frequently found in educational organizations stems from failure to recognize, or purposefully ignoring, power and political issues that might have been easily corrected if understood as legitimate.

Issues of Entry

The term "entry" is a common one in the jargon of organizational development work. Entry is defined here as becoming involved more or less explicitly in the internal decision making (i.e., within the boundaries) of the organization. This is different from doing things which are reacted to by people in the organization. The consultant has made entry only when he or she becomes involved with members of the organization in affecting decisions, or is allowed to operate independently within (or for) the organization in ways that represent its functioning.

From this definition it should be understood that entry is very much a part of the definition of the consultant's relationship with the organization. Further, while every entry is an intervention into the organization, not all interventions represent entry. There may be many kinds of interventions which influence the organization and its relationships which have no concern with issues of entry. With these definitions and distinctions in mind, consider some of the following major issues of entry.

One issue concerns the point, or points, and level of the organization at which it may be wise to attempt initial entry. While this may be partially decided by the way the consultant-client contact was originated, it is often a more open issue than consultants realize when using involvement in internal decision making as the criteria. The OD literature generally advises that entry needs to be established at the highest organizational levels if the OD project is to be successful. One might readily assume so if lasting organizational change is to be accomplished.

While acceptance by those high in the organizational structure may be critical, the consultant should not assume that this acceptance generalizes to all parts of the system. The safer assumption would be that involvement with each new part of the organization, or in each new issue with already entered parts, demands a new entry. One of the touchiest issues in consulting involves the client's view of the consultant's legitimacy and role within the system. Once inside, the consultant is a power and part of the politics of the organization. Implicitly, if not explicitly, the consultant can assume that people will want to know whose self-interests may be affected, what the limits of involvement are to be, when or under what conditions the consultant will leave or be ejected, and what the consultant seeks to gain from this involvement. Consultants may think of themselves as "friendly facilitators" whereas their clients come to view them as "a fungus among us" or someone trying to make a permanent job for themselves in the organization.

When initial entry is gained at a high level of the organization, two particular possibilities can occur which call for alertness. One is that such entry may be no more than a chance to prove oneself. It's best not to assume that this first step means the consultant has been endorsed by the top level or will be accepted as legitimate in various parts of the system. It's well to find out, if possible, whether the gatekeepers are saying they are strongly behind the consultant or have merely offered a "hunting license" that will be maintained only as successful entries to subparts of the organization are achieved. If strong endorsement from the top is clear at the beginning, the second possibility to be alert for is that this may be seen as a threat and resented as authoritarianism in various parts of the organization. How people will react is likely to be a factor of individual and organizational maturity. Such reactions can often show quite a lot about maturity which can then be used as diagnostic information for the consultant.

One immediate issue of entry is the reason for it. What is the assumed focus of the potential OD project? Many OD consultants have entered organizations on the basis of somewhat amorphous claims that things in the system could and should be better and they know how

to help them become so. Their underlying assumption seems to be that virtually any organization can improve at almost any time. Whether or not this is so, the authors of PETC-III want to state clearly and emphatically that we do not share such an assumption. From an evolutionary and developmental perspective, there can be many reasons why an organization may not be ready for change at a given time. Attempting change from a naive or overly idealistic perspective may result in damage rather than improvement. For school systems that are in early phases of maturity, it may be best to enter with a reasonably clear, shared notion of what the OD project focus is to be. It may take some continued clarification, but it's well to start with a farily explicit idea of the function which the system desires to improve. As the project proceeds there may well be work on improving other functions, but this is related as a means to achieving the central project focus.

When a general diagnostic approach, rather than targeting improvement of a designated function, is taken upon entry as a project focus, members of the organization can quickly become uneasy about what the scope and duration of the OD effort is to be. From an ideal perspective it can be argued the organizational development should not be conceived in terms of scope or duration. It should be continuous as organizations evolve in "self-renewing" ways indefinitely. This may be possible for an organization which reaches a phase of creative maturity. For most school districts, as well as in any other kinds of organizations, entry with an explicit OD project focus is more likely to be wise.

Appropriateness, as the term was defined earlier for individual learning, applies equally to the focus of an OD project. The consultant should be concerned with the following questions.

Are there adequate prerequisites for attempting this improvement? Research has shown that many educational innovations fail, for example, because no prior training exists for those who are to carry them out.

Is the nature of the improvement relevant in terms of cultural orientation and life style in the organization? Informal attitudes and expectations may be especially important.

> Can the presumed improvement be meaningful in terms of the developmental phase of the organization? Innovations that were meant to provide sophisticated forms of functioning can be reduced to stereotypic or opinionated practices! A common example occurs when persons who lack interpersonal and problem solving skills are thrown into team teaching patterns and wind up simply dividing areas of responsibility and teaching in their same old ways.

Another issue is whether the consultant's effort will, in fact, become an organizational development project. The consultant may make a successful entry only to discover that assumptions about the nature of the effort were not shared by the client or are unrealistic. It can be important for all to recognize sooner, rather than later, if the effort should be one of temporary provision of functional improvement, or increased functional congruence rather than a true OD project where increased functional capability is to be built in and maintained.

Another issue concerns possible bias of the consultant upon entry. Early impressions can easily be misleading. The consultant's attempts at entry represent an intervention which is likely to cause behaviors in the organization which are not typical except as its way of reacting to possible entry. Also, those in the organization who provide early acceptance will convey their view of things to the consultant which may not be representative or valid. Caution is wise in arriving at diagnostic impressions. Upon entry, one should consider possible motives of early acceptors as well as resistors.

Objective data collection, such as questionnaires and targeted interviews, has often been used very early in organizational development projects. Even when used after overall entry has been achieved, data collection may represent an initial entry step to subparts of the organization. Data collection as a part of entry may have special implications worth considering. Formal data collection implies a demand for trust from organization members which they may not feel is warranted. It also implies a commitment of some kind of follow through which the consultant may not have the power to honor. The consultant may see it as an important step in becoming helpful, while people in the organization hold an impression that someone is looking for trouble. A threat of uncovering

difficulties may go against the "don't rock the boat" norm common to many school systems. As noted earlier, such efforts may proceed best if understood to relate to a specific project focus of the organizational development effort. It's likely to be easier to understand and accept a questionnaire concerning communications in "the new differentiated staffing project" than one which seems to question strengths and weaknesses of communications in general.

Upon entry, both the consultant and the client system will have assumptions, expectations and demands. The sooner these can be made explicit and clear to each party the better. Much of the work of entry will focus here. Each party should consider the appropriateness of what they are getting into as assumptions and expectations become clear. Generally, it is best if some sort of formal or informal contract can be the conclusion of entries at every level and on each occasion. It should include shared understanding about the conditions each has for exits and reentries as well as other aspects of the relationship.

One final issue to consider is that entry may be needed to different parts of the organization for different reasons. Those the consultant comes to think of as key individuals representing the organization as client may not always be the same as those who are the primary target for changes. Key client representatives and targets for change may alter as the project progresses. It is wise for the consultant to repeatedly consider the following questions.

> Who does represent the client system on this issue at this time?
>
> What kinds of involvements may be important to those whose lines may be affected by this intervention on change?
>
> If things don't go as expected, who are the "anchor points" in this organization where the consultant can return for a reassessment?

Utilizing Multiple-Entry Strategy

In a multiple-entry strategy, the consultant identifies the various subparts of the system and groups outside of the system who will be affected by the desire for functional improvement. The multiple effects, and side effects, of each intervention into one or

more parts of the system are recognized. The consultant tries to work with various parts of the system to be sure there is adequate inclusion of any group that has a vested interest in the change which is being attempted. He or she especially works at involving representatives of other groups in understanding and creating appropriate expectations concerning any special effort being made by one group. For example, an effort may be made to be sure a key administrator participates in training for teachers. Or, an effort might be made to be sure a teacher who is viewed by other teachers as being a peer leader has an opportunity to consult on a major procedural change being attempted by administrators. Or, an effort is made to be sure representatives from other faculties have the opportunity to observe and critique an experimental effort being undertaken by the faculty at one school. A key concept of multiple-entry strategy is this notion of linking roles between subgroups.

Another key concept of multiple-entry strategy is providing appropriate forms of training in the same process for a variety of roles. For example, it is questionable whether a good program-planning-budgeting-evaluation system can be instituted in a school district unless there is simultaneous training of some version of the system technology process for curriculum developers and teachers as well as for the administrators of the system. Curriculum developers and teachers will each need versions of training in this process appropriate to the work they will do. They don't need exactly the same range of skills and techniques as the administrator. The administrator's needs may be more extensive than the teacher's. However, a simplified version of the same process can meet real, practical problems the teacher has. At the same time it can mean the teacher can work together actively with the administrator in applying the overall system for school district management. This avoids feelings of being at the mercy of others using a process which one does not comprehend. This strategy replaces it with a basis for real collaboration. Havelock has proposed this kind of linkage, i.e., different roles having usable understandings of each other's processes and orientations, represents the single most critical factor necessary in achieving successful educational improvement. (Havelock, 1969)

A third idea in the multiple-entry strategy concerns the possible need for changing several functions simultaneously in ways that mutually reinforce each other. For example, a better process for planning might rely on simultaneous improvement of the organization's functions of assessing, communicating and reporting.

Multiple-entry, then, can mean crossing the boundaries of several systems or subsystems simultaneously to get reinforcing effects for the overall change desired. It can also mean working at bringing about several kinds of change within one subsystem simultaneously. In any case, the idea of entry refers to crossing the boundaries of a system to bring about changes that affect its choosing and decision making processes. The basis upon which a system will allow, or reject, entry will depend upon its phase of maturity. As a general rule, the clearer a client is in its expectations and agreements to any intervention, the more likely the intervention will be successful.

Changing Formal and Informal Structure of the Organization

Responsibility for changing the formal structure of an organization generally rests with its administrators. Some aspects of the formal structure may be implied by the policies of the organization. For example, the school board may institute some policies that call for a divisional office of research and evaluation. Most school districts have procedures calling for approval by the school board when major structural changes have implications for the district's policies. In a healthy, mature school district, administrators throughout the hierarchy have authority to determine structural changes within their area of responsibility. This would be the case in a large, decentralized school district.

The formal structure of an educational organization in early phases of maturity can generally be simply and accurately portrayed by a standard organizational chart. A more mature organization would have a more complex and dynamic formal structure which is harder to display visually. Such a display generally calls for two- or three-dimensional matrices to indicate the interchange of resources across

functional areas of responsibility. Such an organization is structured to focus on problems and needs rather than along lines of functional capability.

The informal structure of the organization shows, beyond those issues covered by its formal structure, who relates to whom about what and with what effects. School districts, like most organizations, tend to have many patterns of communication and influence outside of what would be expected from a literal interpretation of their organizational charts. For example, there may be a few individual teachers who have great influence on the superintendent, or a school board, of a district. Or, research has shown that friendship and influence groupings among teachers are a major determinant of their innovativeness in the classroom irrespective of the structures the district may have which are supposed to support dissemination and implementation of innovations.

The administrators version of *Research Utilizing Problem Solving* (Jung, 1973), developed by the Northwest Regional Educational Laboratory, uses a data gathering tools booklet that provides ways to identify major aspects of the informal structure in the educational organization. (Fox, 1973) The action research process provided in this training is a major strategy that can be used in bringing about changes in informal structure.

Changing Norms in an Organization

Once formal and informal structures of an organization have been changed, and new skills and resources have been introduced in a school district, there may still be little improvement in the organization's functional capability. These changes would probably be necessary for such improvement, but are often not sufficient by themselves. The missing ingredient is most often a lack of needed changes in the norms of the organization to support effective use of the new structures, skills and resources.

Organizational norms are the shared expectations that people have about what should be done, how it should be done, and who will do it. They involve kinds of rewards and/or punishments which are usually informal but effective in influencing most members of a group

to conform publicly. Norms are usually arrived at informally and implicitly. There are a number of ways they can be changed.

Changing the structure, procedures or resources in an organization can, but won't necessarily, influence corresponding normative changes. For example, a school district might set up a research and evaluation division to conduct studies of its instructional effectiveness. If there is already a strong norm for teachers and principals to make decisions on the basis of the key influence people in the district, rather than on the basis of using objective data, the efforts of the new division may never have any significant impact on aiding instructional improvements of the district. On the other hand, if members of the new research and evaluation division build up an informal structure of contacts with key influence people in the district, a new norm of using their objective data may begin to form.

A second possible way that norms can be changed is by bringing about changes of attitude. Teachers who have an attitude that elementary school children are irresponsible in using equipment will probably also have a norm of not providing their students with opportunities of taking such responsibility. If this attitude could be changed, it might bring about a change in the norm. There is research indicating, however, that attitudes are often unrelated to behavioral norms. Morse, Bloom and Dunn found, for example, there was no significant relationship between what teachers honestly believed in and thought they were doing in their ways of teaching in the classroom on the one hand, as compared to either trained research observers or observations by their students on the other. (Morse, 1960)

A third way to change norms is by involving people in changing their behavior. This generally works best when a working group goes through a training session together. They not only learn new skills and procedures for doing things, but also build new norms that others will do these things as well as expectations that each will follow through in the use of the behaviors. This idea of involving people in trying out something new together, rather than as individuals, is probably the single most useful concept in any strategy to bring about normative change. As discussed earlier, it generally is a strategy which slows down the acquisition of new skills or arriving

at decisions, but can ensure that the necessary norms are formed to maintain the use of new skills and support the implementation of decisions in the future.

Modeling by leaders is a fourth strategy that can be an effective way to bring about normative changes in stereotypic or opinionated organizations. Such norms are stable so long as the people who started the norm stay in leadership roles. They change quickly with a change in leadership. When there is an opportunity for helping the organization move to a more advanced phase of maturity, modeling is a poor basis for forming norms in an organization.

Another strategy for bringing about normative change in an organization is to involve the members in identifying the norms it desires, diagnosing and analyzing the norms that exist, and explicitly working at and creating new norms. This is probably best achieved in stereotypic and opinionated organizations by dealing with norms that relate to practical, everyday problems the organization is concerned with. A school district in one of these early phases of maturity lacks the dynamic orientation necessary for recognizing the value of generalizable norms for teacher classroom innovativeness. Nevertheless, such a school district might be quite capable of recognizing and wishing to deal with a norm effecting the quality of use of a new set of reading materials. Ability and desire to deal with more abstract norms is one of the goals of self-renewal in having the school move toward a creative phase of maturity.

A number of ideas about working at organizational development have been put forth in this chapter. Two points seem worth emphasizing in conclusion. First is the reminder that any of these ideas may, or may not, be appropriate in a given situation. None can be considered as absolute truths or hard and fast rules. They are offered here to help the consultant consider what may be done or needed in various situations. The second point is that this chapter only scratches the surface of the many ideas, research findings and experiences available concerning organizational development work. The past three decades have provided a vast and growing literature. Though much of it comes from fields other than education, the literature is a resource every organizational

development consultant should explore. In doing so, the consultant is advised to keep in mind the considerations believed to be unique about schools as human systems so the implications from other fields might be appropriately applied to education.

Commentary: Some Reflections . . .

In working with a client you generally begin by trying to make sense of what life in the organizational system is all about. Like an anthropologist you attempt to gain perspective on the system by seeing the world through the client's eyes and by appreciating the realities of their situations and concerns as they perceive them. This facilitates your understanding of "where the client is coming from" and provides clues for directing your interventions to areas where the client can grow and mature.

However, as an OD consultant you are not limited to this perspective alone. There are other vantage points from which to view the system. These can provide you with a richer frame of reference for organizing, conceptualizing and responding appropriately to the realities, demands and stresses of the situation. Never forget that you are a most important data-gathering and sensing instrument. So, how do you make sense and bring into focus what's going on in the system?

You listen. You listen to how individuals in given situations present to themselves and to others the issues, concerns, feelings and contexts of their organizational experience. You listen to the prevailing organizational mythologies and to the metaphors which people use in describing their lot. (Consider the differences implied by referring to a particular school as the "factory," "an amusement park," or "a jungle.") You listen in an effort to capture the spirit and drama of organizational actors and events.

You also observe. You observe people interacting with one another and begin to sense the nature and quality of their relationships. You observe how people make use of resources, materials, spaces as well as where people and things are located in the organization. You observe the characteristic ways people in the organization do the things they do. You compare what people say with what they do.

And you ask questions--lots of questions--questions designed to clarify, cajole, supplement, raise issues, show support, confront, provide clarity, insight, understanding or suggest interpretations. Skillful questioning not only provides data, but "hooks" respondents and involves them in the OD effort. It provides a visible demonstration of your interest in their concerns and feelings. Often it is a useful step in building trust and rapport within the client system.

You listen, observe and ask questions so that you can develop pictures of the organization and gain insights into how and why things work (or don't work) in the organization. And in this effort we've discovered, almost like focusing on a figure-ground relationship, you begin to be aware of the "patterns," and of the incongruencies and discrepancies. Slowly, you become aware of the things which don't make sense or don't "feel" right to you about the system.

The dilemma you may come to face, however, is how to be flexible, open to new information and emerging patterns of behavior once you've achieved a particular focus and understanding. The trap is in pushing all data till it fits your particular conceptual framework. Besides being aware of this tendency you may find it useful to think of data collection and the analysis of data as two separate but symbiotic ongoing endeavors in the process of organizational development.

Being aware of typical phases of planned change (as in the model in Chapter V) is handy for thinking about various aspects of an OD effort. Be prepared also to let your energies flow in several different stages simultaneously. Unlike baseball, you may sometimes touch these bases in a different order to better fit the situation. (Typical OD interventions are usually only neat and compartmentalized in hindsight.) Like the water bucket dipped in a river, it doesn't really capture the dynamics of an OD experience any more than an organizational chart explains how the organization <u>really</u> operates.

We suggest that you be somewhat cautious if you think of yourself specifically as a <u>change</u> agent. Your very presence in the system may, of course, cause some changes to occur, but you may

want to remind yourself that the responsibility for change lies clearly with the client and not with you. Otherwise, the client may fail to learn from the experiences of the OD effort or may become overly dependent upon you as the consultant.

Your job is to increase the client's "functional capability." This is accomplished by helping the system to grow and mature and not necessarily just to "change." Your role is one of helping to remove obstacles to normal healthy processes. You might aid in finding better mechanisms in the system for coping with uncertainty. Or, you may help expand the resources and skills brought to bear on problems; or, enrich the ways the client responds to the forces of change. But, you will want to be clear, that *it is the client* who makes the hard choices, takes responsibility and lives with the consequences of their behavior.

Many times what you bring to the system is an ability to, "stop the world!" as Castaneda describes it. You use your own sensitivities, resources and skills to provide the client with a sense of security and a feeling of adequacy so they can freeze or stop their worlds long enough to get in closer touch with their own needs, abilities and limitations; to focus in on their own processes and incongruencies; to analyze, express and confront; to realize and recognize choice points; and to accept responsibility.

Thus you help the system to learn....

Barry Z. Posner
Warren H. Schmidt

Chapter IV:
Diagnostic and Planning Tools

Chapter IV

In organizational development consulting, as in the PETC-II instructional system for consulting (Pino, 1976), the phases of planned change and the diagnostic and intervention matrices are again the major diagnostic and analytic tools. However, there is a major addition in the intervention matrix for use in organizational development consultations.

Applying the Phases of Consultation

PETC-III applies the Lippitt, *et al.*, (1958) conceptualization of phases for planned change as shown in Figure 13. Since an organizational development effort inevitably takes longer than the average PETC-II consultation, the application of these phases needs to be looked at here in a more comprehensive way. The appropriate section from the PETC-II central ideas paper is reproduced at the end of this section.

During the months that a typical organizational development effort takes place, the phases of consultation should be viewed as a sequence of major emphases which characterize the consultant's work with the client system. At the same time, it is important to recognize the labels for these seven phases represent seven different

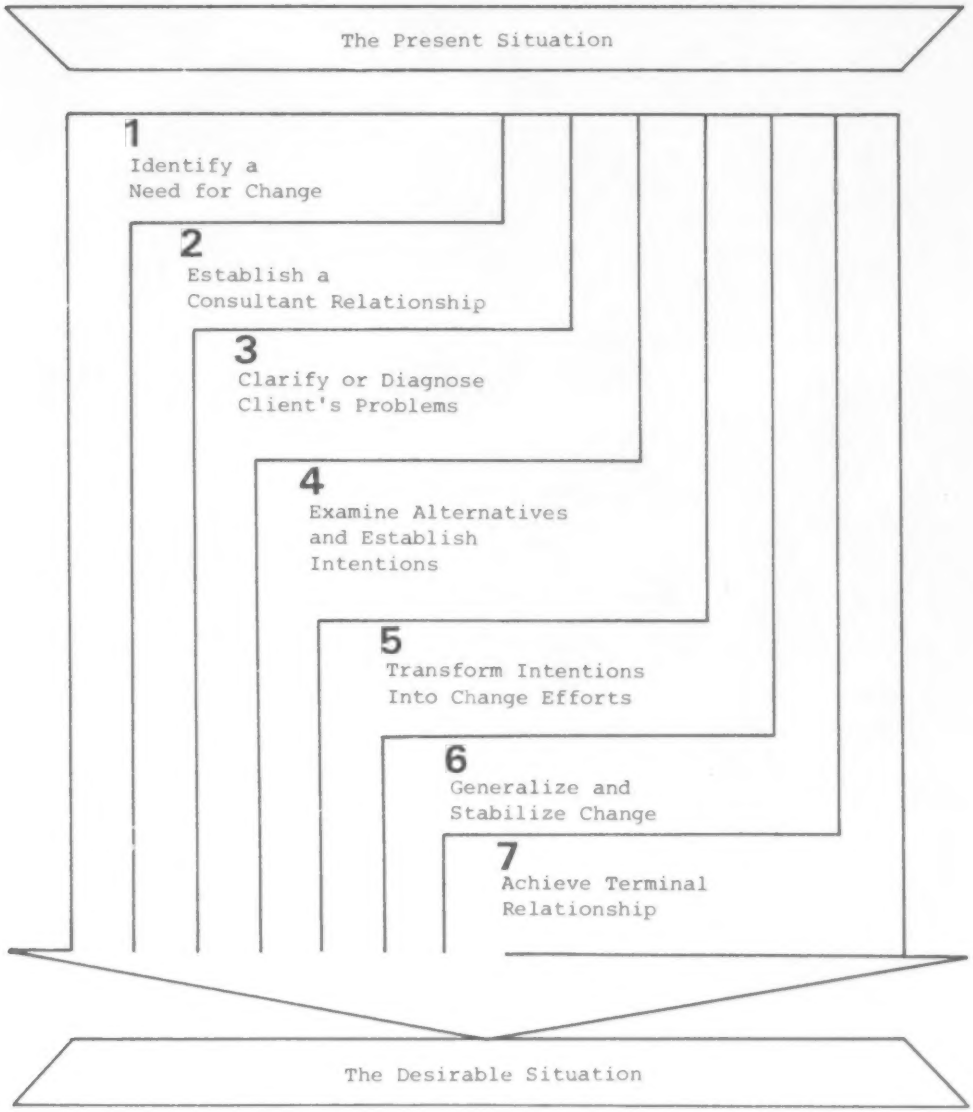


Figure 13. Phases of the Consultation Relationship for Planned Change

kinds of work which the consultant might need to give attention to any time during his or her relationship with the client system. For example, though major emphasis during the first weeks or months of the relationship may be on the phases of identifying the need for change and establishing the relationship of the consultant to the client system, this kind of work may need to be returned to occasionally when the major emphasis has become diagnosis, examination of alternatives or even stabilization of the change.

In addition to going back repeatedly to work that characterizes the emphasis of early phases, the organizational development consultant must also prepare in an early phase for the later phases. For example, while the major emphasis is still establishment of the change relationship, some preliminary diagnostic work may be important. Some things may even be done that serve as critical preparation for the later possiblity of stabilizing certain kinds of desired changes, should it prove possible to bring them about.

As a more valid and helpful conception of the phases of consultation, Figure 14 presents them as a matrix rather than a one-dimensional list. Down one side of the matrix are the labels which represent kinds of work. A consultant may need to engage in more or less of each of these kinds of work during every period of a relationship with the client system. Across the top of the matrix, seven periods of time are marked. As these periods are completed, they are each characterized by one of the kinds of work as a major emphasis. Thus, the phases of consultation are represented diagonally from the upper left-hand box to the lower right-hand one. All other boxes in the matrix represent the other kinds of work that must also be done during each period of time! Each of these periods may last from days to months in a given client relationship.

Looking at such a matrix can help the organizational development consultant to continuously review and anticipate the kinds of effort he or she is responsible for. While in the phase of diagnosis, it will remind the consultant to be alert to clues from the client system that a review, reclarification or alteration in the relationship with the client may need to be worked on. It may help the consultant to recognize ways the client system can be readied for viewing alternative routes and goals for later emphasis.

Kinds of Work	Periods of Time Covering the Total OD Effort (Each Period May Last From Days to Months)						
	Period I	Period II	Period III	Period IV	Period V	Period VI	Period VII
Identify a need for change	*PHASE 1 emphasizes this kind of work*	(What is the dissatisfaction or the desire? Who wants the improvement?)					
Establish a consultant relationship	(Does the	*PHASE 2 emphasizes this kind of work*	client desire help? Does the consultant want to help? Who will do what?)				
Clarify or diagnose client's problem	(Why and how are things implied?		*PHASE 3 emphasizes this kind of work*	happening as they are? What kind of problem solving is			
Examine alternatives and establish intentions	(What can be done to bring improvement?			*PHASE 4 emphasizes this kind of work*	What effects and side effects might occur?)		
Transform intentions into change efforts	(What people need to be involved and what decisions need action?)				*PHASE 5 emphasizes this kind of work*	to be made in order to begin	
Generalize and stabilize change	(What structures and norms must be formed and what forces are needed to structures and norms in order to permanently build the new functional the organization?)					*PHASE 6 emphasizes this kind of work*	support these capacity into
Achieve terminal relationship	(How can the consultants make sure that the client knows it is responsible for the improvement? How can the consultants make sure the client is capable of maintaining the improvement?)						*PHASE 7 emphasizes this kind of work*

Figure 14. The Phases of Consultation as Major Kinds of Work

This comprehensive way of keeping simultaneously aware of kinds of work while attending to the major emphases can have added payoff. A look at possible eventual alternatives, while seemingly premature during diagnostic work, might precipitate client reactions that yield additional diagnostic data. Or, work at reclarifying the client relationship, even in late phases of the total effort, can result in a surprising release of energy within the client system to try out or incorporate changes being attempted.

Phase 1: Identify a Need for Change

Phase 1:
Identify a Need
for Change

In order that a process of planned change may begin, Lippitt *et al.*, (1958, pages 132-133) specifies three things which must happen during this first, or "unfreezing," phase. First, the problems which are creating stress in a system must be translated into "problem awareness." Difficulties may be encountered in achieving this translation, since different parts of the personality, or different members of a group, may be aware of problems to differing degrees. There also may be communication barriers which block the spread of awareness. Second, problem awareness must be translated into a desire for change. This can come about only when there is "confidence in the possiblity of a more desirable state of affairs." Finally, problem awareness and a desire for change must lead to a specific desire for help from outside the system. For this to happen, outside help must be perceived as both relevant and available.

This unfreezing, or development of a need for change, may occur in one of three ways: (a) a change agent locates a source of difficulty, and offers help; (b) a third party brings the client and the change agent together or (c) the client system itself seeks help from an outside source. The third possiblity seems the most common way for the change process to begin.

Phase 2: Establish a Consultant Relationship

Phase 2: Establish a Consultant Relationship

The problems which may be encountered during the phase of establishing a change relationship are numerous. Lippitt discusses the difficulties involved in communicating needs, the significance of first impressions, and the importance of building trust and understanding between the change agent and the client system. This research also points out that it is often advisable for the two systems to agree to a trial period of collaboration to ensure that the relationship will be mutually satisfactory.

This phase is one of the most crucial parts of the change process.

> The success or failure of almost any change project depends heavily upon the quality and the workability of the relationship between the change agent and the client system... (Lippitt, *et al.*, 1958, pages 135-136)

Phase 3: Clarify or Diagnose Client's Problems

Phase 3: Clarify or Diagnose Client's Problems

In order for the problem to be diagnosed (and the first phase of "moving" to commence), the change agent must first be able to obtain information; Lippitt states that this may be a simple matter, or it may be a very lengthy and trying one. It is after the data has been collected, however, that the significant problems in diagnosis are encountered. As the data is analyzed, the client is likely to be faced with a problem which changes and broadens in scope; what was originally perceived to be a relatively simple problem may come to seem almost overwhelming.

Further problems may be encountered as the change agent attempts to offer interpretations of the client's problem. The client may become hostile and may reject the agent's diagnosis.

Lippitt suggests the client must strike a balance between two extremes of inaction.

> ...The inability to do anything because of a helpless dependency and defeatism in the face of unexpectedly acute problems, and refusal to do anything because of a hostile rejection of all diagnostic interpretations. (Lippitt, *et al.*, 1958, page 137)

Phase 4: Examine Alternatives and Establish Intentions

Phase 4: Examine Alternatives and Establish Intentions

In this second phase of "moving," the diagnostic insights gained in the preceding phase must be translated into ideas for action and then into intentions to carry out the ideas in a certain way. Cognitive problems are likely to arise as the alternative paths are explored, and motivational problems may occur when it becomes necessary to endorse a plan of action.

One particular motivational problem may be the client's fear of failure in carrying out a plan of action. Lippitt feels: "Often these anxieties can be eased by providing ways for the client to test innovations before they are permanently adopted." (Lippitt, *et al.*, 1958, page 139)

Phase 5: Transform Intentions Into Change Efforts

Phase 5: Transform Intentions Into Change Efforts

It is during this final phase of "moving" that plans are put into action, and that innovations are adopted. Lippitt states that "the active work of changing is the keystone of the whole change process." It is at this stage that the success or failure of the change effort may be determined. In order for the original stresses to be eliminated, plans and intentions must be transformed into achievements.

Feedback can have critical importance to the results of the change effort. Without adequate feedback the client system may abandon the attempted change, even though it may be producing the desired effect.

Phase 6: Generalize and Stabilize Change

Phase 6: Generalize and Stabilize Change

For a change to be considered successful it must "remain a stable and permanent characteristic of the system," and the phase at which this stabilization takes place is the phase which Lewin calls "freezing." Lippitt feels that stabilization will be faciliated if the change provides adequate rewards to the system and if any procedural change is supported by structural change. In addition, the significance of generalization is emphasized:

> One critical factor in the stabilization of change is the spread or nonspread of change to neighboring systems or to subparts of the client system. (Lippitt, *et al.*, 1958, page 140)

The process of institutionalization of change is likely to occur almost automatically once the innovation has gained a foothold, because "many systems possess an inherent momentum which tends to perpetuate a change once it has attained a certain state of equilibrium..." (Lippitt, *et al.*, 1958, page 141)

Phase 7: Achieve Terminal Relationship

Phase 7: Achieve Terminal Relationship

Lippitt found that termination of the relationship between the client system and the change agent occurred at various points in the change process, sometimes as early as the third phase. Successful change, however, was most likely to result if the relationship was maintained until the change had become stabilized. At this point, the greatest problem to be faced in the terminal

phase is the dependency of the client system on the consultant. This problem can be eased if the consultant remains available for consultation or if structures are set up within the client system to serve as a substitute for the consultant. The client will also be more able to cope with termination if it has learned techniques of problem solving which it can apply without the assistance of the consultant.

The seven sequential phases of change which Lippitt, Watson and Westley derived from their case studies were found to be applicable to almost every case. They point out, however, that "in any given case one is likely to see that the phases overlap and repeat themselves." The phases are outlined so that they may be used as a guide in analyzing and planning for change.

Applying the Differential Diagnostic Matrix

The PETC-II three-dimensional diagnostic matrix, shown in Figure 15, is applied again in PETC-III. The appropriate section from PETC-II (Pino, 1976, pages 56-67) is included here, along with an elaboration of how functions and operational characteristics appear specifically at the organizational level. This elaboration provides a reference to use repeatedly while carrying out an organizational development effort. (See Figure 15)

Functions at the Organizational Level

Managing

Managing is concerned with how the organization is run. It includes coordinating, monitoring and supervising to assure the functioning achieves specified objectives in line with desired policies and procedures. The role of administrator has the major responsibility for managing in an organization. The human nature of outcomes in education calls for considerable managing by other roles in a school. Teachers, especially in team teaching arrangements or efforts to individualize instruction, have a major management responsibility.

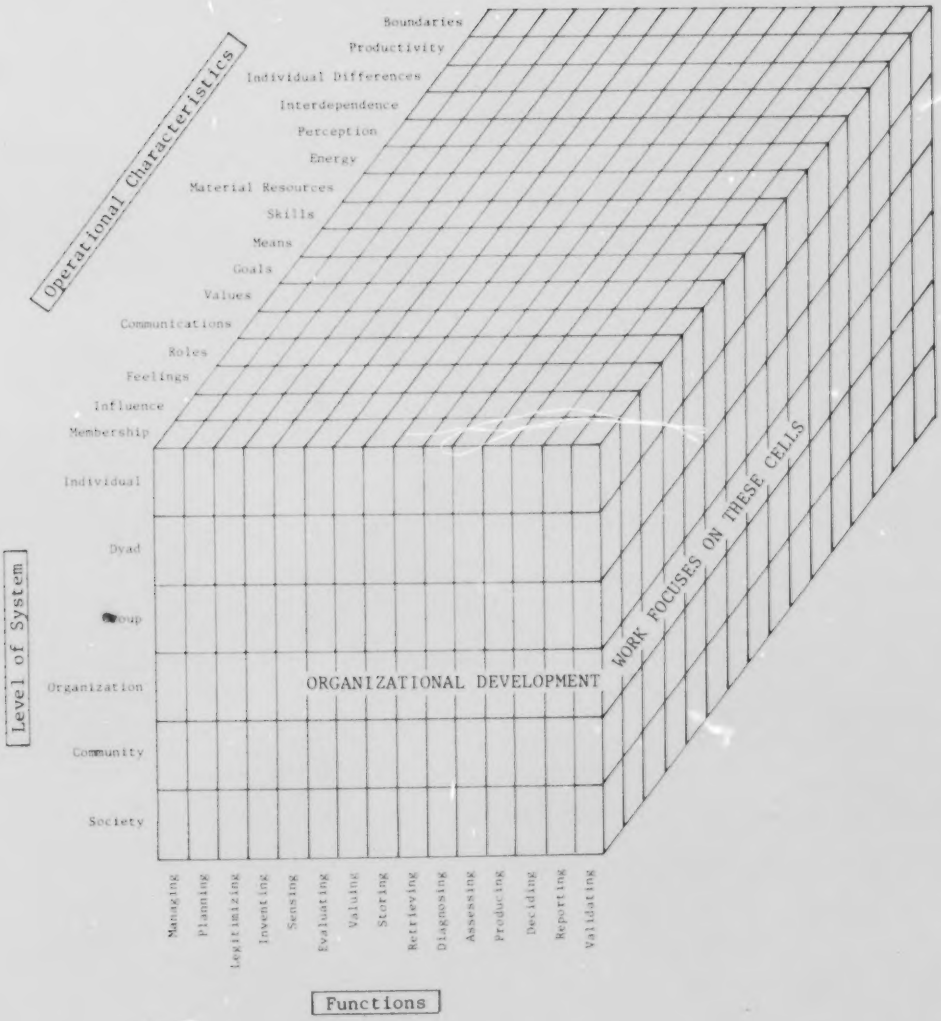


Figure 15. Differential Diagnostic Matrix

In a world of continuous change, it can be argued that a critical objective of schools needs to be that of providing learners with skills for managing their own learning experiences.

Planning

Planning is concerned with specifying objectives and procedures for achieving them. All subsystems need to contribute to planning in an organization. Coordination of these contributions, and overall long-range planning necessitates an overview of the organization that is generally best provided by its central administrators. The major issue is one of achieving a balance between decentralized planning of subsystems and planning for needs of the total organization. Shared use of similar procedures for planning across roles can be of major importance to coordination.

Legitimizing

Legitimizing is concerned with specifying which subpart is to be responsible for contributing in particular ways to particular functions. It includes policy making at the organizational level. The school board, elected to represent the public, is the primary legitimizer for a school district. There are also certain "givens" established by legislation of the state and supervised by the department of public instruction of the state. Within the school district, most school boards assign this function to the administration. The administration may further delegate aspects of it to roles which seem most appropriate.

Inventing

Inventing is concerned with the discovery of new things to do, reasons for doing them or ways they can be done. Divisions for research and development may have a major responsibility for

this function in an organization. There may also be procedures for supporting innovations by roles throughout the organization. One large corporation has a full-time team assigned to collecting and testing suggestions from any employee with large bonuses awarded to those whose ideas prove profitable. For a school district, a critical issue at the classroom level needs to be explicit ways for supporting innovativeness, and processes for sharing innovations.

Sensing

Sensing is concerned with identifying needs and problems that should be attended to. Sensing external needs of some kinds can best be a responsibility of a special division, or, at the organizational level, of its administrators. In education, teachers and sometimes students can best sense some kinds of external problems and needs. Sensing internal problems and needs demands mechanisms and procedures for involving everyone in the organization. A major issue is the openness of channels for entering a message of need without taking inefficient amounts of time and energy of people in need.

Evaluating

Evaluating is concerned with whether what is desired is being done. In an organization, major evaluative studies and ongoing quality control efforts generally necessitate special divisions and task forces. In schools, there is a particular need for teachers, counselors and students to have an active part in evaluating along with local building administrators and supervisory roles. Shared use of similar evaluative procedures across roles can be of great value in an educational organization.

Valuing is concerned with whether what has been done, or is intended, is truly desired. For an organization, procedures are needed that enable various subsystems and external interest groups to relate to the valuing function. The school board has this ultimate responsibility for a school district, but must recognize their role in this regard is to represent a balance among potentially conflicting interests. Various, explicit procedures for constructive negotiations need to be combined with procedures for operationally defining objectives as the basis for valuing in education.

Valuing

Storing is concerned with the ways that things which are needed are preserved. In this era of accelerating change and growth of technology, storing can raise major problems at the organizational level. The mechanics of storing and the costs of maintaining a large inventory are issues for a large school district. Inventory needs of necessarily small, isolated school districts can be an even greater problem. The economics of operating schools on a twelve-month basis are being seriously explored in many places on this account.

Storing

Retrieving is concerned with the ways that things which are needed are made available. This function is closely related to storing. When knowledge and kinds of resources are changing and expanding rapidly, it is an area of special importance for educational organizations. Increased uses of television and computers pose examples of inevitable changes in the future. Collaborative networks for retrieving and sharing between subsystems in an organization, and among different organizations, is a special need in education.

Retrieving

Diagnosing

Diagnosing is concerned with determining the ways that things are operating in dynamic terms. A special division, or task force, might be needed to meet overall system needs at the organizational level. Each role in a school district will have occasional need to diagnose problem situations which arise in its area of responsibility. Ability of different roles to use similar diagnostic procedures will be important for contributing to occasional problem solving for the total organization.

Assessing

Assessing is concerned with determining what exists at a given moment in static terms. Taking a periodic inventory of innovations and personnel resources should be considered, along with the more obvious kinds of physical inventory, in an educational organization. Schools need also to be concerned with some kinds of external assessments of community resources that could contribute to meeting their purpose. Another easily overlooked resource is that which students can provide for each other.

Producing

Producing is concerned with the ways work is done which produces (or fails to produce) desired objectives. Producing is a highly decentralized function in most kinds of effective organizations. The main products in educational organizations are new knowledge, things that can help people learn and behavioral changes in learners. In a school district, teachers and learners work together to do most of the producing. Other roles need to provide their functions in ways that maximize the efforts of teachers and learners. It's critical for the organization to keep aware that learner outcomes are the ultimate

referent for determining whether any role in the organization is contributing in a worthwhile manner.

Deciding

Deciding is concerned with the ways that decisions are made in the system. Because functions and tasks are generally divided among different roles and divisions at the organizational level, decision making can be quite complex. It can be greatly aided by clarifying which different roles have which kinds of decision making responsiblity at different stages of an effort. Problems occur when there is lack of such differentiated clarity as well as when those accountable for work lack the authority to make key decisions about it. (Wallen, 1970)

Reporting

Reporting is concerned with who informs whom of what and the ways they do it. Both internal and external reporting can be complex at the organizational level. In a large school district, a balance is needed between providing different roles with information essential to their responsibilities as compared to an overload of communications that are redundant, unnecessarily detailed or irrelevant. One issue is that of targeting different kinds of information for the populations who need it. A procedure for "target group analysis" can be helpful. (Jung, 1973) Another issue is selecting the most efficient and effective means for different kinds of reporting.

Validating

Validating is concerned with how ideas and procedures are checked out to be sure they represent values and efforts assumed for them. Implementing new things at the organizational level can be costly and represent a high risk. Good procedures for validating can reduce this kind of risk

and cause the system to be more open to considering innovations. A key principle to consider is that of having procedures which ensure that those who would ultimately be affected by a change, are made a key referent in the validating process. New curriculum materials or teaching techniques might have different effects in a real classroom than in a laboratory setting.

Operational Characteristics at the Organizational Level

Membership

Individuals identified as being part of the system are said to have *membership*. In an organization, membership raises questions such as:

What does it mean to be a member of this organization?

How does being a member of one part of the organization differ from being a member of a different part?

Will I be accepted?

How will I be expected to act and respond?

What norms will prevail?

Will I be trusted?

Will I feel satisfied that I am needed and respected?

Will I feel adequate?

Will my personal motivations fit in with those of the group?

Will my group continue to be a needed and respected part of the organization?

How much freedom will we have to express ourselves?

Is my first loyalty to my group or to the organization as a whole?

Problems arise from lack of clarity about membership questions as well as conflict over what the answers to such questions should be.

Influence is concerned with the ways that people bring forces to bear which determine what happens among and between parts of the organization.

Influence

Is influence recognized as explicit and legitimate?

What forms of influence are acceptable or unacceptable?

Are there clear procedures for questioning, changing or rejecting kinds of influence?

Are certain roles or divisions protected from kinds of influence that would be disruptive or inappropriate?

Can the influence of different interest groups enter the organization in constructive ways?

How much variance of individual styles of influence is tolerated?

Are different bases for influence accepted for different types of situations?

What are the ways that leadership occurs?

Are different kinds of leaders used for different situations?

How much flexibility of influence and leadership is there relative to roles and status of different parts of the organization?

Problems arise from lack of clarity about influence questions as well as conflict over what the answers to such questions should be.

In addition to the usual facilitative and disruptive effects that can occur from the ways that individuals handle feelings, *feelings* are important in organizations as they concern ingroup versus outgroup phenomena and overall morale. Questions such as the following are important.

Feelings

What are acceptable and unacceptable ways of showing different kinds of feelings?

Are there norms that support expression of feelings when appropriate, and description rather than expression when the former is more constructive?

Do people trust each other?

Is competition used to create good feelings in some groups at the cost of raising bad feelings in other groups?

Are innovativeness, productivity or personnel lost because feelings are ignored in some operations of the organization?

How much variance in individual styles of expressing feelings is tolerated?

How spontaneous, open and direct are expressions of feelings?

Problems generally arise from lack of clear norms allowing appropriate expression of feelings. Feelings such as boredom, isolation, inadequacy, disrespect or anger can totally disrupt an organization.

Roles

Answers to the following questions define the *roles* in the organization. Written role definitions are usually provided, and supplemented by contracts, in an organization.

Who in the organization is expected to carry out which functions and in what ways?

How will people relate to each other in carrying out these functions?

There are often additional role distinctions beyond those formally described. Questions such as the following can help clarify role issues.

How clear are people about others' expectations of them in their role?

How well do the role expectations of the people match?

Do peoples' abilities match what is expected of them?

Are there roles missing as evidenced by functions needed in the organization which no one is expected to fulfill?

Problems frequently arise from lack of role clarity or conflicting expectations about a role. Organizations frequently experience problems involving overload and/or conflict that occurs from demands on individuals who are in more than one role.

Communication

Communication is concerned with the passage of information within and between parts of the organization. Information applies to things that are news rather than "noise" which is redundant or unintelligible. The basic issue is:

Who needs to know how much about what and which way should they be informed?

The complexity of an organization can raise major problems in the area of communication. Everyone doesn't have time to know about everything, but critically needed information can sometimes be lost in the shuffle.

Are there ways to screen information, reduce it, and direct it to appropriate roles?

Is there two-way flow of information and "feedback" where needed?

Are needs for informal patterns of communication recognized and attended to as well as formal patterns?

Are there "grapevines" of informal communication which imply problems of insufficient trust and openness in the organization?

Are there norms supporting active checking for understanding?

How do norms, roles, expectations and feelings influence communication?

Are communications in, or to, some parts of the organization better than others? If so, why?

Are there bottlenecks, blocks, gaps or points of overlaod in the lines of communi-communication? If so, why?

Values

What are things that different persons, or parts of the organization, believe to be important? Shared commitment to a purpose is the basis for people coming together to operate an organization. They must have a core of shared *values* related to that purpose in order for their organization to function. At the same time, inevitably there will be issues with differences of values. It is critical to organizational health that such differences can be recognized and negotiated at the same time that collaboration is maintained in working for the overall purpose of the organization. In addition to the values questions suggested in PETC-II, (Pino, 1976), the organizational development consultant should pay particular attention to issues that relate to the phase of maturity of the organization. A greater tolerance may be felt toward an organization evidencing a questionable value which is based on a lack of maturity rather than one based on philosophical belief. For example, a school district might have a sincere democratic philosophy, but evidence highly autocratic values in its procedures which relate to its being in a stereotypic phase of maturity. This would be very different from an opinionated or existential school district that operated in autocratic ways because it held a genuinely autocratic philosophy.

Goals

Goals of an organization are those things which it must achieve in order to fulfill its purpose. Goals provide the parameters within which measurable objectives are specified for operation of the organization during any given time period. Correspondingly, there will be long-range as well as short-range goals. There will also be goals directly related to the purpose as well as indirect goals that are instrumental to the purpose. The complexity of large organizations calls for consideration of hierarchies of goals and objectives as well as issues of their relationships in best meeting the needs of the total organization. Goals of different parts of the organization must be given relative priorities in assigning resources and coordinating effort. Conflicts about goal priorities can arise from values differences or, more often, differences of self-interest based in different roles or parts of the organization.

Means

Means are the particular actions taken and strategies employed to reach designated goals. At the organizational level, means are frequently evidenced in the form of project "flow charts" or "work load" assignments. Norms generally have a major influence on determining procedures used in an organization to carry out tasks and provide functions. The following questions tend to be important.

Are the planned means clear, realistic, understood and agreed to by all concerned?

Are they congruent with the values and purpose of the organization?

Are they apt to produce detrimental side effects within or outside of the organization?

Skills

Skills concern the level of ability, complexity and sophistication at which things are done in the organization. Goals and desired means might be clear and agreed to in an organization, but prove unfeasible due to a lack of skills. Important questions include the following.

Does the organization have personnel with an adequate range and balance of skills to pursue its purpose efficiently?

Does it have ways to gain access to special skills of persons outside the organization on occasions when it needs them?

Does it provide adequately for inservice training to maintain needed skill levels or add new ones?

Are persons best placed in the organization according to their skills?

Material Resources

In a broad sense, all the operating characteristics of an organization may be considered as its resources. Many of them are evidence of the organizations' human resources. The term *"material resources"* refers here to the physical plant and equipment, the financial capitalization and the operating budget of the system.

Are material resources adequate and appropriate to the purpose of the organization?

Are they well related to its desired goals and means?

Is the organization constrained or facilitated in its selection of goals, means or improvement of skills by the availability of material resources?

Are procedures adequate for allocating resources flexibly in relation to changing organizational needs?

Are material resources validly assessed so that false assumptions about their availability are not a constraint?

What are the sources of material resources?

Does the community recognize the value of its investment in the organization?

Problems concerning material resources frequently focus on assumptions that more are needed, whereas reallocation or different use of what exists can sometimes achieve the desired outcomes. The important thing is to specify the desired objectives and then examine underlying assumptions about how resouces can be used.

Energy

The people working in an organization have a limited amount of *energy* to be invested in accomplishing tasks at any given time. The following questions occur.

Are some parts of the organization faced with demands beyond their energy level?

Is there equitable distribution of energy among the parts?

Are there appropriate provisions for rest and renewal of energy?

Are effects of working too hard or too long showing up as other kinds of problem issues such as breakdowns in communication or conflicts about influence or role definitions?

Are other kinds of conflict, or the system's reaction to it, causing undue drains on its energy.

The most obvious energy problems relate to multiple demands converging on a part of the organization. A more serious, frequently unrecognized energy problem relates to poorly managed conflict. Debilitating amounts of energy can become tied up in repression of feelings, falsely assumed conflicts which are not clarified, and real conflicts which are not negotiated.

Perception

Perception is concerned with those things which are seen in and by the organization as well as the meanings and interpretations which are placed upon them.

Are there important things which are not seen?

Do some roles, or parts of the organization, tend to see only certain kinds of things?

Do some parts tend to distort or misinterpret what they see?

Does the organization provide ways for individuals to gain an overview perspective, as well as clear views from the part with which they are involved?

Does reality actually appear different from the perspective of different roles?

How much overall congruence is there in perceptions experienced throughout the organization?

Are similar perceptions demanded of all parts of the organization, or are differing perceptions seen as a potentially valuable breadth of perspective?

Does the organization have means of periodically questioning its own perspective so as to be open to new understandings in a changing world?

Problems arise from being limited by old, entrenched perspectives and failure to understand that the same phenomena can appear different when viewed from different roles or parts of the organization. The way things are viewed by an organization will also be strongly influenced by its phase of maturity and the extent to which individuals have a shared expectation related to that phase.

Interdependence concerns the ways that parts of a system function in relation to each other to fulfill a common purpose. It is central to the definition of an organization. Organizations were invented as a "level of human systems" to assure that the needs of interdependence for meeting large, complex purposes could be fulfilled. Questions include the following.

To what extent do parts of the organization rely on each other for differential contributions to fulfill its purpose?

Do parts see and acknowledge the value of each other's contributions?

Do they seek, use and acknowledge help from each other at times in performing their own operations?

Are there clear norms and procedures for collaborating and sharing resources?

How much cohesion and *esprit de corps* is there?

Do norms supporting interdependence conflict with appropriate needs for autonomy and periods of independent functioning?

Is individual creativeness sacrificed to group conformity pressures in the name of "good" teamwork?

Is interdependence based on functional expertise supporting freedom of operations rather than authority and bureaucratic regulations constraining flexibility?

Do some individuals feel inadequate and dependent?

What values are accepted as the basis for collaboration?

Do competitive norms and practices conflict in situations where cooperation would be more productive and rewarding?

Most frequent problems of interdependence relate to conflicting norms and procedures which are competitive. An important, though less obvious kind of problem stems from lack of functional expertise as the primary basis for parts sharing resources and working together.

Individual Differences

No two human systems, at any level, are the same. The capabilities of their operational characteristics vary according to the unique growth history of each. The issue with *individual differences* is one of capitalizing on the variations of the systems which are subparts of the organization. Below are some important questions concerning individual differences.

Are there procedures for identifying the unique capabilities of individuals?

How much divergence of self-interest is tolerated?

Are there clear norms and procedures for negotiating basic differences of self-interest?

Are there norms for conformity which conflict with the valuing of growth based on the interaction of differences?

Do people know and/or attempt to discover the full range of each other's resources?

Do expectations of a role or group extend to stereotyping individuals in it?

Are subparts of the organization used flexibly in accordance with their unique functional capabilities as opposed to each part being limited to a usual set of tasks?

The greatest problem concerning individual differences relates to norms which deny and reject those differences by failing to recognize them as a source of strength and growth. While individual needs tend to be a concern in education, a lack of

understanding of the dynamics and implications of individual differences of resources leads to especially difficult problems. They culminate in prejudice and discrimination where there could be the greatest opportunities for exploration and evolution.

Productivity

Productivity is concerned with the ways the organization knows it is productive as well as the quality rather than simply the quantity of productivity it accomplishes.

Is the organization's productivity a creative synthesis of its unique needs and resources rather than the lowest common denominator of capability of its subparts?

Are its objectives stated operationally so it can be measurably accountable for productiveness?

Are its procedures for production efficient and cost effective?

Are the products of the organization congruent with its values and purpose?

Do these products contribute to desired social ends or to the maintenance of outmoded or objectionable ones as viewed by other systems?

How much energy is spent in arguing about the right or wrong of ideas as compared to developing new ideas or combining ideas?

Do parts of the organization experience a direct sense of satisfaction for their contribution to productivity?

The most observable kinds of problems concerning productivity involve low levels resulting from inefficient procedures and a low sense of satisfaction in perceiving one's contribution. Less obvious, but perhaps especially important

for education, is a lack of productivity which is creative and motivating versus the lowest common denominator of a tradition-bound organization.

Boundaries

Boundaries are the behaviors of a system that allow some things to become a part of its internal operations and decision making while keeping others out. In the most mature sense, a system's behavior, as represented by its choices, has this effect. There are overall boundaries that determine what is included as a part of an organization, as well as subsystem boundaries between each of those parts. Some of these boundaries are indicated clearly by the organization's legal charter and its formal structure. Other boundaries are based in its norms and standard operating procedures. The following questions occur.

Are the existing boundaries clear and agreed to?

How flexible are these boundaries?

Can they be temporarily extended or opened to include new procedures or allow "outsiders" to join a group's decision making when sensible?

When an individual is included within the boundaries of more than one subsystem at a time, are conflicts relating to multiple loyalties recognized and dealt with appropriately?

Are boundaries of subsystems congruent with those of the organization as a whole so that members of a subsystem don't feel their group is "outside" the total operation?

Do subsystems feel that needed autonomy is threatened by having others move in and out of their operations?

Are conditions and procedures for entry explicit and agreed to?

Major problems occur when boundaries can be entered easily. Forces that might arbitrarily interfere with a system's functioning or change its character can be introduced when the boundaries are penetrated. Organizations in early phases of maturity tend toward emergence of rigid boundaries that maintain "empires" irrespective of the overall purpose and objectives the organization is supposed to be achieving.

Applying the Differential Intervention Matrix

There is a major change in the intervention matrix used in PETC-III as compared to the one in PETC-II. (Pino, 1976, page 68) This change is in the problem solving dimension of the matrix. The instructional system, *Research Utilizing Problem Solving (RUPS)* (Jung, 1973), was a prerequisite for PETC-I and PETC-II. It provided training in a process of action-research. The problem solving dimension of the intervention matrix of PETC-II presented the kinds of action-research problem solving tasks experienced in the RUPS training.

As shown in Figure 16, organizational development work demands a more sophisticated understanding of different kinds of problem solving processes. These were discussed in the PETC-II matierals under the subheading, "When Does Change in Education Constitute Improvement?" This discussion included the following statement.

> The cultural-historical perspective is necessary in considering the question of when change constitutes improvement. It helps identify criteria from three different domains in considering whether a particular change is moving toward a desired state. These domains can be thought of as *technical*, *theoretical* and *philosophical*. Criteria for the *technical* domain ask whether a desired objective is, according to its operational definition, being achieved. Criteria for the *theoretical* domain ask whether achieving that objective has the effects--and/or side effects--that were expected and desired as the effort contributes to an increasingly generalizable understanding of the action setting. Criteria for the *philosophical* domain ask whether the objectives and their effects, once achieved, are really what is desired. (Pino, 1976, page 27)

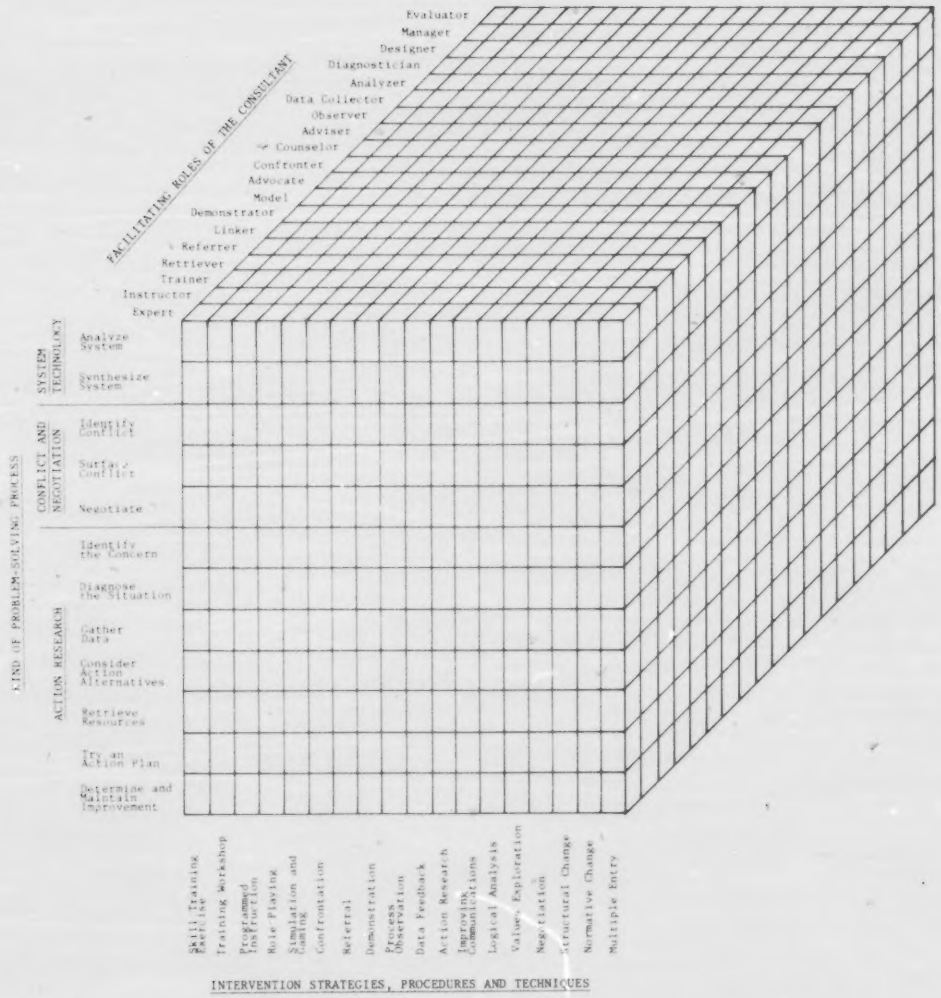


Figure 16. Differential Intervention Matrix

The action-research kind of problem solving provided in RUPS deals with the theoretical criteria. Technical criteria call for a different kind of problem solving represented in the system technology process. Training in some version of system technology, such as the Corrigan's *System Approach for Education* (1969), is an important complement for PETC-III. Philosophical criteria call for an understanding of social conflict and competencies in using a process of negotiation. For PETC-III, minimal acquaintance provided by the self-directed training package, *Understanding Conflict and Negotiations*, is a prerequisite. (Jung, 1971b)

Assuming that the PETC-III trainee already has, or will soon acquire, competencies in all three kinds of problem solving processes, the problem solving dimension of the intervention matrix has been expanded to include the following categories of system technology.

Analyze System

Synthesize System

The following conflict and negotiation categories have been added.

Identify Conflict

Surface Conflict

Negotiate

Action-research categories of problem solving have been added also.

Identify the Concern

Diagnose the Situation

Gather Data

Consider Action Alternatives

Retrieve Resources

Try an Action Plan

Determine and Maintain Improvement

These additions are important in moving from PETC-II to PETC-III. The purpose of *Preparing Educational Training Consultants: Consulting (PETC-II)* was to add or strengthen a function of the client system in a temporary relationship. By definition, the consultant's job was to determine how and why things are happening as they are.

Since the major issue in the PETC-II purpose is action-research, and since most PETC-II trainees could not be assumed familiar with system technology or conflict and negotiations, it

seemed prudent to limit the already complex intervention matrix of PETC-II to the action-research problem solving approach. However, the issues faced in organizational development demand the expansion of one's problem solving orientation. Once the functional changes needed, desired and feasible for permanent inclusion in the organization have been identified, the major problem solving efforts become technical rather than theoretical. They call for the rigorous analytical and planning processes of system technology. In that the changes brought about can alter the identity and/or decision making processes of the organization, differences of self-interest (conflict) can be uncovered which call for negotiation.

Each time an intervention is needed, the consultant must consider whether it will take the form of involving the client in technical analysis and planning, action-research or negotiations. Lack of attention to these distinctions can result in application of an inappropriate process. Taking the technical approach at the wrong time can lead to great energy being spent on trying to install the wrong solution! Seeking a best common approach implied in the action-research process can make people furious if it is ignoring basic differences of self-interest! Promoting negotiations in a situation where it is not needed can be equally frustrating! The issue is whether the client's concern is mainly technical, theoretical or philosophical. The intervention must represent the process which corresponds to the major criteria or it may increase problems rather than solve them.

One frequent confusion concerning these three problem solving processes comes from failure to recognize that, while conducting a major effort using one kind of problem solving, minor efforts are frequently completed using the other two kinds. For example, a consultant might be working on a four-year technical project in which most of the problem solving calls for system technology to analyze and plan what is needed. During these four years, theoretical questions may come up occasionally which call for short-term action-research efforts. There may also be times when minor, value-based differences occur calling for brief negotiations between conflicting parties.

Within the "macro" technical problem solving process, the consultant makes "micro" applications of the theoretical and philosophical problem solving processes. The important thing to keep track of is which kind of criteria is most important so that the right process is being used as the "macro" one, and the other two are contributing to it.

Three illustrations that apply to work with school districts are given in the following paragraphs. The first is a situation mainly concerned with *technical* criteria for improvement. School District A lacks the functional capability of monitoring the academic achievement of its pupils. This deficit limits its ability to use its resources for the student's individual readiness in learning. School District A recognizes the need, has the desire, and has potential resources to remedy this functional lack. The organizational development consultant works with School District A over a period of three years during which they analyze the problem, identify and operationally define the solution to bring in computer resources, provide training for the staff in use of these computer resources, and develop norms which support its acceptance and use until it becomes a standard operational procedure.

A second situation is concerned with *theoretical* criteria for improvement. School District B is concerned because, despite introduction of expensive equipment and materials, and evidence from both students and faculty of desire to improve learning in the area of science curriculum, no such improvement has been apparent. School District B wants to know why this is so, and at the same time improve its functional capability for diagnosing and dealing with such issues in the future. The organizational development consultant works over a period of two years with School District B. It expands its research and evaluation department to include a responsibility for continuous diagnostic data gathering with teachers and students, provides training for teachers to use, and contribute to, this diagnostic function of the research and evaluation department, and adds action-research training to the curriculum for junior and senior high school students. During the two years, the training is first applied to the issue of improving use of science curriculum by discovering how and why things

are happening in this area and then working to remedy the barriers to improvement. Whereas the PETC-II consultant would only have helped School District B deal with its science problem, the PETC-III consultant goes on to help build into the organization increased capability to deal with similar problems in the future.

The third situation is concerned with *philosophical* critieria. In School District C, decisions must be made repeatedly between using limited resources for strengthening either the curriculum for vocationally-oriented students or the curriculum for professionally-oriented students. Strong feelings concerning this difference of interest extend to parents and community groups as well as existing among factions of the faculty. There is evidence of alienation among parts of the student population on this issue, resulting in low use of available learning resources. Large amounts of energy are used in fighting over the issue. While there is no way to meet everyone's needs, persons involved in the school district recognize they can learn negotiation procedures for dealing with conflict more constructively. The organizational development consultant works with School District C over a period of two and a half years to link it with training resources in negotiation procedures found in the industrial community. Staff members learn to provide such training and have this function legitimized as part of their role. Students and faculty are involved with parents in community problem solving workshops that become an annual tradition in the school district. Norms of recognizing conflict, surfacing it, and dealing with it in a process of neogtiations become explicit and valued. This training was introduced around the conflict between vocational and professional orientations. The challenge to the organizational development consultant was to establish such training as an annual event and to build the norms for an ongoing tradition.

A distinction critical to organizational development work needs to be underlined. Every time the consultant works to facilitate an intervention, he or she needs to consider the possibilities of this intervention contributing to lasting structural and normative change as contrasted to its merely helping to deal with the current issue. Helping the organization reach a current goal or deal with

a current conflict won't necessarily enable it to better reach goals or deal with conflicts more effectively in the future.

There are times when the severity of a current issue, or needs for improving the client-consultant relationship, provide reason for interventions that do not contribute to lasting improvement in the organization's functional capability. Nevertheless, the organizational development consultant gives priority, whenever reasonable, to such lasting improvement. The consultant is, correspondingly, willing to see current problems dealt with much more slowly when taking the time to involve people in doing things together so as to build norms that will maintain the use of new procedures. Every intervention into an immediate problem is viewed as a possible opportunity to build new norms and/or structure that maintain improved functional capability.

A major issue for the organizational development consultant is gauging the client's readiness, understanding and value for doing things in ways that are sometimes slower and more complicated than would be needed to resolve an immediate concern. This process, however, compensates by improving the organization's long-range functional capability. Bringing a client to this kind of orientation is a major achievement in organizational development work.

The roles which the consultant takes, and the ways that he or she moves in and out of them, must also be considered carefully on each occasion as they relate to facilitating normative and structural change in the organization. If the consultant is only trying to help the client achieve goals or value clarification, as in PETC-II, very different roles may be taken than if he or she is working to build improved functional capability into the organization client.

The PETC-III consultant must especially watch out for taking roles in a way that increase the client's dependence on outside resources. This is particularly true where the desire is to build those resources into the system. For example, when training is needed, it is generally better in organizational development work to take the longer time necessary to train trainers within the organization. These people then provide training for their colleagues rather than the consultant training them. Having taken the time to

have its own trainers prepared, the organization retains the training capability which would not have been the case if the consultant had simply taken the trainer role.

Problem Solving Stages

It is easy to confuse the problem solving stages of the differential intervention matrix with the phases of planned change. They are, in fact, much the same. The important concept to understand is that smaller scale, or micro, problem solving efforts must be carried out within the larger scale, or macro, improvement effort. For example, during the planned change phase of "generalize and stablize change," there may be a communications problem affecting the inventing function of a small group. When the consultant attempts to bring about an intervention in relation to this "micro" problem, he must consider whether it is to aid his "micro" problem solving stage of answering the following series of questions.

What is needed?

Why are things the way they are?

How do I know?

What can be done?

What resources are there to do it?

What will be tried?

How will sources be determined and maintained?

These seven questions correspond to seven stages of action research in problem solving. The are described more fully below.

Identifiy the Concern

What is the current situation?

What is needed?

Who is causing the problem?

Who is affected by it?

What kind of problem is it?

What is the goal for improvement?

Diagnose the Situation

Why are things as they are?

What forces are operating to maintain the situation?

What forces might cause improvement?

What evidence indicates the forces are operating as suspected?

What further information is needed to clarify the situation?

Cather Data

How can further data be gathered?

How will the data be handled?

How will it be understood?

How will results from the data be used?

Consider Action Alternatives

What different possiblities are there for taking action to improve the situation?

How easy or difficult might it be to attempt each of these possiblities?

Which might have the greatest chance for success or the greatest effect on the situation?

Retrieve Resources

What resources would be needed for the different action alternatives?

How available are they?

How can they be retrieved?

Try an Action Plan

What steps will be taken to solve the problem?

What tasks will be performed?

Who will perform them?

When and how will each be performed?

Determine and Maintain Improvement

How will it be determined that a change represents improvement in a philosophical and theoretical, as well as a technical, sense?

How will improvements be maintained and shared with others?

Intervention Strategies, Procedures and Techniques

The few strategies, procedures and techniques shown in the intervention matrix of Figure 16 are only illustrative of many possiblities. An intervention is anything the consultant helps to happen for the purpose of affecting the functioning of the client system. An intervention is undertaken in the hope of improving that function and/or realizing greater clarity of the valuing upon which it is based. Be careful to note that the nature of the intervention in terms of strategy, procedure or technique does not necessarily indicate the role of the consultant in that particular intervention. For example, the intervention might be a training workshop in which the consultant might, or might not, serve as a trainer. The consultant's role will be described later as the third dimension of the intervention matrix.

Skill Training Exercise

The intervention may be to conduct a *skill training exercise* such as those used in PETC-I

Training Workshop

A *training workshop* might involve some or all members of the client population. Such an intervention might include action-research, i.e., *Research Utilizing Problem Solving* (Jung, 1973) or a workshop on using a new curriculum.

Programmed Instruction

This intervention may involve individuals in a *programmed instruction* experience such as reading *Preparing Objectives for Programmed Instruction* (Mager, 1961)..

Role Playing

Role playing can be used to help people gain perspective of one another's roles as well as to better understand the nature and personal implications of their own role. Variations range from simple role reversal exercises carried out

in a matter of minutes to extensive training designs or complex therapeutic sessions.

Simulation and Games

In *Simulation and gaming* the client is asked to be himself as he reacts to an artificial situation. The growing use of games to provide conditions for learning to cope with or understand situations is a form of simulation. While the situation is artificial, what one can learn about the conditions it presents, and about one's own reactions to them, can be very real.

Confrontation

Confrontation generally involves the presentation to a client system of unacknowledged facts or discrepancies, such as between intentions and behavior. A constructive purpose of confrontation can be to mobilize the system to action. If the confrontation is experienced by the system as an evaluative condemnation, however, the reaction may be to increase resistance to change.

Referral

Referral may be used simply to direct the system to resources or a potential source of them. This is often the case when the consultant happens to be an expert in the substance of a client system's need (e.g., a "reading" expert, or a specialist on computer programs) and when his or her primary role has been one of diagnostician for the system. The consultant should always maintain consideration of possible need to refer the client to a different consultant.

Demonstration

The intervention may be the *demonstation* of a new process, program or kind of equipment. Demonstrations can provide important images of potential, but generally need to be combined with skill training exercises and active support for implementation to yield significant educational improvements.

Process Observation

Through *process observation* the client system can be helped to see its own processes in order to consider their adequacy or desirability.

Data Feedback

Data feedback is used by the client system to assess the current state of affairs or provide insight about casual relationships.

Action Research

It is sometimes possible and desirable to involve the client system in conducting a total process of *action research*. As most people are not familiar with the total process or the skills to employ it, this strategy generally demands related training.

Improving Communications

Improving communications is sometimes vital to the success of an organizational development project. Many assumed problems are a matter of misunderstanding, poor communication or lack of communication. The most frequently used interventions of the consultant may be those which seek to clarify meaning, intention and understanding.

Logical Analysis

Logical analysis skills may be necessary for the client to understand situations clearly. Given the complexity of human systems, and the frequency of problems in communications, it should not be surprising to find that people often fail to achieve correct understanding of how things happen in a system and how the subparts affect each other. A strategy may be needed to involve the client system in a rigorous, logical analysis of its functioning in relation to its objective. This strategy demands skills in system analysis procedures which may necessitate related training.

Values Exploration

At the operational level, it seems easiest to focus on seeking to identify and achieve system improvement needs. In these times of continuous,

rapid cultural and social change, it may often be important to help the client system *explore its* underlying *values* and philosophy. How well it's doing always depends on what it really wants and why. Sometimes problems stem from values and philosophy changing or clarifying without the system being explicitly aware of the changes or their implications.

Negotiation

When different subparts of a system, or related systems, have basic differences of self-interest, *negotiation* is generally the only appropriate process. Other processes may be used in relation to a primary one of negotiation, but none can appropriately replace it when real differences of self-interest are at stake. The other processes involve degrees of collaborativeness. Negotiation faces honestly the fact of conflict and competition. As most people are strongly instilled with values for being collaborative, training is often important for a client system which needs to employ a process of negotiation.

Structural Change

When improvement is desired, *structural change* is probably the most frequent strategy employed at the organizational level, and least frequent at the individual level. Organizations often try to solve problems by changing the organization chart, designating a new role or a new committee. While such structural changes can be critical and valuable interventions, they often demands related strategies such as training, logical analysis or values exploration to achieve the desired ends. Sophisticated structural changes are concerned more with the flexibility of the system to make changes and the permeability of the boundaries between parts of the structure.

Normative Change

Normative Change aims at altering the ways that people expect things to happen and to be done. Structural changes may often be made when it is actually normative change that is needed. Strategies for changing norms often involve sub-strategies such as training. As part of a strategy to change a norm, individuals might be trained in a skill together as a group rather than receiving the same training separately. Or, data may be fed back to an assembled group rather than to the individuals independently. The engineering of normative change is a major concern in organizational development.

Multiple Entry

Multiple entry calls for several parts of a system to be intervened with in complementary, mutually supportive ways. For example, in order for people to apply new skills gained in training, their superiors may need a demonstration before they will support application of these new skills. Another example might be that teachers need to understand system technology as a process appropriate to their own role before they will be influenced to apply innovations arrived at by administrators using system analytic procedures. A potentially improved skill or understanding in one part of a system can increase cognitive dissonance resulting in poorer functioning by the overall system. A multiple entry strategy which maintains or improves congruence and balance of the system is often essential.

Facilitating Roles of the Consultant

The consultant will take one or more roles to facilitate each intervention meant to aid the client system. Sometimes the consultant may take a very active role in initiating or carrying out an intervention into the functioning and procedures of the client system.

At other times, the consultant role may be passive or indirect, but still important to the success of the intervention. As noted earlier, the strategy of the intervention doesn't necessarily indicate the role of the consultant on any particular occasion. In facilitating an intervention strategy of training, the consultant may take the role of referrer to a training workshop, linker to a trainer to be brought in, trainer conducting the training, manager of a sequence of training events conducted by others, process observer of effects on the system of some parts undertaking training, or analyzer of data concerning the effects of training in the system. In facilitating a complex, long-range intervention strategy, the consultant may shift between roles as he or she makes micro interventions within the macro phases of the consultation relationship with the client system.

A critical issue for the consultant is maintaining clarity between role switches as one works with the client. The client will tend to build role expectations of the consultant. Because of such expectations, it can often be better to bring in a different consultant to help the client with partiuclar needs, even when the original consultant has the skills and knowledge to perform the service. Below are a number of major roles a consultant can take.

Expert

As the *expert* the consultant may be the total source of knowledge or skill in an area.

Instructor

The consultant may take the role of *instructor* about an area of knowledge. Teachers often take this role in imparting facts to their pupils.

Trainer

The *trainer* goes beyond instruction in helping people master "do it" behavioral skills in performing actions.

Retriever

The *retriever* brings the needed information or skills from an outside source to the client system.

Referrer

The *referrer* sends the client system to a source where it can find the needed knowledge or skills.

Linker

The *linker* provides a bridge to relate the parties, or parts of a system, that need to be in contact.

Demonstrator

The *demonstrator* shows the client system how something is done, but not necessarily how to do it without the help of the consultant.

Model

The *model* provides an example of how to do, or be, something by evidencing it in his or her (the consultant's) own behavior. This is more than showing how to do a thing, e.g., a demonstation. It is representing oneself as the thing under scrutiny. It is generally wise to be cautious about holding oneself up as "a model" to client systems. In many instances, it can be more helpful for the client system to arrive at its own desired idea of a model.

Advocate

There are times when a consultant can best facilitate an intervention by taking the role of *advocate* for a goal, value or strategy. It is important to keep clear about the difference between general things the consultant advocates as compared to taking this role to facilitate a particular strategy with a client in a specific phase of their relationship.

Confronter

When the client system needs to be confronted with the awareness of a discrepancy, the consultant must consider whether it may be most helpful to take the role of *confronter* or to facilitate the confrontation by taking some other role. As confrontations frequently have evaluative implications for the client, it is often wise to avoid the role of confronter so that the client ultimately recognizes evaluativeness in the situation as its own. At the same time, the role of

confronter can be extremely powerful and helpful when taken appropriately. Appropriateness involves readiness of the client as well as consultant values which are recognizable and acceptable to the client.

Counselor

The role of *counselor* generally includes listening, acting as a sounding board and raising awareness of alternatives. It leans toward a nondirective effort in helping the client think through issues for itself.

Adviser

The *adviser* role differs from the counselor in being more directive about what the client might do and how to do it.

Observer

The *observer* comments on the things that exist and how things are being done.

Data Collector

The *data collector* gathers information about what exists and how things are being done.

Analyzer

The *analyzer* interprets the meanings found in data about the system.

Diagnostician

The *diagnostician* uses analyses, data collection and observations in determining why things happen the way they do in the system. It is important for the consultant to recognize when he or she is observing, collecting data, analyzing and diagnosing for his or her own information as opposed to when these roles are being performed to facilitate an intervention for the client system.

Designer

A *designer* prepares action strategies, training programs and management models for use by the system. By occasionally applying special understanding of the dynamics of human systems, this may be an especially valuable role for the consultant to take for the client system.

Manager

It is probably rare for a consultant to take the role of a temporary *manager* of the system, or some part of it, for the client. Instances of it are beginning to emerge in the field of education related to ideas about accountability and the "turnkey" procedure of performance contracting.

Evaluator

Taking over the role of *evaluator* for the client system is also occurring with increasing frequency in education. Systems involved in federal funding are turning to consultant firms to do their evaluation. A variation of the new accountability model calls for independent auditing to determine effectiveness of other consultants' action intervention efforts.

Chapter V:
Planning Your Growth

Chapter V

Growth as an organizational development consultant includes:

- Adding knowledge and skill competencies
- Broadening one's orientation in terms of ability to see things from the persepective of each of the four kinds of maturity
- Understanding oneself well enough to avoid inappropriate situations
- Increasing one's tolerance toward the growth pains of client organizations

There are two reasons for working on one's own growth as an organizational development consultant. The first relates to needs of the client systems. The second relates to areas of personal interest and desire.

Meeting Needs of Client Systems

If the educational systems a consultant works with repeatedly show needs which he or she is not capable of dealing with, the consultant should either work for increased competence in this area, or cease attempts to work with this kind of client. For example, if a consultant typically works with rural school districts, and their organizational development efforts almost always need to include improved communication with members of their communtiy, and the

consultant has little knowledge or skills in ways to help them improve such communication, it seems reasonable to work at increasing consulting competencies to better help with this kind of need. The consultant has the responsibility to be very clear about: (a) the kinds of issues where the client should be referred to a different type of consultant, (b) those issues around which the consultant should avoid working with a potential client system, and (c) those issues and situations for which the consultant should work at increasing his or her own competence so as to be able to respond to the client's needs.

Personal Interests and Desires for Growth

There may well be different areas in which a consultant has a personal interest and desire to grow even though they do not represent issues or situations frequently encountered in client systems. For example, individual psychological problems may seldom be confronted in some organizational development consulting. Nevertheless, a consultant may still have an interest in expanding his or her competencies in the direction of individual clinical work so as to be better able to recognize and deal with this kind of problem when it occurs.

In setting priorities for one's own growth, it can be helpful to recognize a distinction between priorities which are primarily professional as compared to those which are more personal in nature. Some kinds of growth experiences add to a consultant's repertoire of skill and knowledge competencies. Other kinds of experiences provide the conditions that can help one know oneself better as a person. There are many situations where a consultant can add to his or her professional competencies during the process of working with a client system in a way that does not detract from meeting the client system needs. On the other hand, the conditions that provide for personal growth can raise the possibility of detracting the consultant's resources from the client system's needs at times. If time is taken for personal feedback and reflection to work at better understanding oneself as a person while, at the same time, consulting with a client, the consultant will need to be careful that this does not conflict with whatever obligations he or she has to the

client. An extreme situation would be one in which a consultant was experimenting with new techniques for professional learning at the expense of a client to whom a different kind of expectation had been given. This could only be considered unethical.

Personal growth can be a vital need for the organizational development consultant. (Steele, 1975) There are a number of ways it can occur. The most clearly appropriate way is to periodically take the role of a trainee in workshops or intern programs. There is a growing network of professionals doing organizational development work in education. (Schmuck and Miles, 1971) They can, and do, offer workshop opportunities to each other during which personal as well as professional growth can be a legitimized objective.

Personal and professional growth also can occur in team consulting relationships. Organizational development consultants frequently seek each other out to form temporary teams in working with a client so as to have the opportunity of learning from each other and helping each other better recognize personal values and ideologies.

A third kind of opportunity for personal and professional growth can occur by arrangement explicitly with the client system. Research, or action-research, projects may frequently be organized with this inclusion. Consultant teams based in colleges or universities may provide undergraduate or graduate training to members of their consulting team as part of their agreed contract with a school system. On the other hand, when such a team proceeds in this manner without the school people expecting and agreeing to it, there can be very negative reactions.

A fourth kind of opportunity for growth can occur when an organizational development team is created within an organization. Such a team is generally a major characteristic of an organization which has reached the creative phase of maturity and is operating in self-renewing ways. It represents a structure, and is complemented by norms, which provide explicitly for the continuous professional and personal growth of the team's members. They, in turn, have a major responsibility for facilitating personal and professional growth of other persons throughout the organization.

Inside/Outside Organizational Development Teams

A good way to add perspective, and often an important organizational development strategy, is to combine an inside/outside organizational development team. The inside team includes one or more members of the target organization who have organizational development capabilities as well as responsibility for facilitating the organizational development effort. Note that this does not usually mean they have managerial responsibility for the function that is to be improved as the focus of the organizational development project. They are, rather, internal organizational development specialists. Such roles have become common in industry and are beginning to appear in some educational settings. The outside team includes organizational development specialists from a setting outside of the organization attempting the organizational development effort. They may be from a similar organization such as another school district or higher education institution, a governmental organization such as a state department of education, or a private consulting firm. They too are organizational development specialists who link together with the inside team to provide a resource to others in the organization. This combined inside/outside team plans and acts in coordinated ways to best achieve the goals of the organizational developme[illegible]oject.

There are several advantages of the inside/outside team. Motivation of inside members of the team will vary from those of the outsiders. This, along with such other differences as varied experience, knowledge and skills is bound to provide some contrast of perspectives which can be valuable in many ways. Insiders may have insights about the organization and its climate which only time is likely to reveal. Outsiders may have greater objectivity in some areas which their remoteness makes possible. There may be times when interventions are best provided by one or the other.

It is often better for outsiders to support trial conditions for the people in the organization to learn in a way their learning errors will not be held against them. Outsiders can also use their presumed position of naiveté to provide confrontations in a manner less threatenting to organization members. Outsiders also know

less about organizational norms and are thus less prone to be contributing to pluralistic ignorance about them. In this sense, they may sometimes have the advantage of not knowing what "can't be done" and proceed to do it!

Insiders may also have some special advantages at times. They may have, or be able to constructively use, trust relationships created over time. On issues of shared interest, others may trust them more, knowing they stand equally to gain or lose from the organizational development efforts. Insiders are likely to have better channels of information and resources in many areas. They are likely to have internalized more valid conceptions of the ways reality is experienced in and by the organization, and to be intuitively aware of issues at important times.

When considering personal and professional needs for growth, it can be valuable to periodically take the time to do a literal analysis of the forces for and against entering a learning situation. It can be especially valuable to have relationships with a few trusted colleagues for periodic assessments of the validity of one's own perceptions of needs for growth, and analysis of forces which may seem to be barriers to giving time and energy for meeting those needs. Just as norms and structures of an organization can be diagnosed which may help or hinder it in increasing its functional capability, an individual can diagnose and work to create norms and structure in his or her own life that support giving periodic attention to growth needs as an organizational development consultant.

Analyzing Professional Competencies

What do you really know, and what can you really do, when you step into the role of an organizational development consultant? There is a vast, growing literature on the strategies and skills of organizational development work. Gaining a fuller range of competencies in this area demands a lifetime of professional growth. It is important to both the consultant and the client that the consultant stay aware of his or her own areas of strengths and weaknesses.

Consider the diagnostic matrix as it applies to one's organizational development work. It can be used as a guide for identifying things the consultant knows, things he or she needs to learn, and things he or she doesn't intend to learn, but may need to use other consultants for upon occasion. The consultant can go through the cells of the diagnostic matrix at the organizational level and make this a kind of three-part listing. Then such a listing can be presented to others who have expertise in organizational development work, and their reactions can be sought to the validity of the consultant's self-assessment. They can also point out cells where things have been omitted, things the consultant did not even know about. For example, the consultant may think he or she needs better understanding of ways that feelings can affect planning and managing. He or she may feel limited, but not too concerned about knowing how energy can affect validating. Someone with greater expertise may be able to increase the concern and drive to know more about this or other areas where possibilities have not yet occurred.

The same use can be made of the intervention matrix. It is especially important to look again at one's competencies in the sections of the intervention matrix where systems technology and negotiations kinds of problem solving were added to the problem solving dimension.

After listing his or her strengths, weaknesses and needs, the consultant can seek reactions from individuals who have special expertise in each of the three different kinds of problem solving. Persons who specialize in one area of problem solving tend to have different perspectives from those who specialize in another area. Seeking reactions from a variety of such persons can help create perspective on oneself. It can help clarify one's own value-based ideological biases. It can help alert an individual to areas of competencies he or she was not aware of.

A third way to review one's competencies is in relation to the seven phases of consultation. By applying the phases of consultation to self, the consultant can determine how comfortable he or she is with the range of knowledges and skills concerning each of these kinds of work as it can apply during each phase of the client

relationship. What different strategies are known for carrying out each kind of work in each of the phases? What are the kinds of side effects to watch out for in each instance? After listing strengths and weaknesses in this regard, one may share the list with colleagues and seek their reactions.

Another helpful resource for the consultant is to check the lists against knowledge in the literature on organizational development work. While there is limited empirical evidence on organizational development in the field of education thus far, there is a wealth of insightful ideas to be found in case studies and theoretical presentations. There is considerable empirical data from other fields, especially agriculture and industry, but one must be careful in generalizing research from those fields to an educational system. As noted earlier, educational systems tend to be more complex than organizations in other fields in that their products are changes in human behavior rather than a product such as corn or automobiles. The latter doesn't have feelings, take action, or talk back. People do!

Problems Arising from Multiple Loyalties

In reviewing one's competencies for organizational development work, another area is suggested for special emphasis. This is the area dealing with boundaries of systems and subsystems. There are difficulties which can arise which may be more or less difficult for the consultant, as an individual, to deal with.

Probably the most difficult problem of dealing with boundaries involves the issue of multiple loyalties which can be aroused within the consultant. If the consultant allows himself to be temporarily accepted on an ingroup membership status within two or more competing subgroups, he or she may suddenly experience strong feelings of internal conflict about what to do. Or, the consultant may be given ingroup status when taking one kind of role with one subgroup, as well as when taking a different kind of a role with another subgroup. Suddenly, the consultant may face conflict of interest issues which appear difficult to resolve. Or, when working on action research problem solving with one group the consultant may suddenly find the need to be working with another group on negotiating a related issue.

If the different parts of the client system don't recognize the legitimacy of the consultant simultaneously collaborating in one kind of issue while negotiating another, he or she might be confronted by the different groups who feel their confidence was betrayed by letting the consultant temporarily become a part of their decision making process.

These kinds of difficulties in working within and among the various boundaries of a system can sometimes take on the quality of a kind of planned schizophrenia which call for the utmost maturity on the part of the organizational development consultant. The issue of multiple loyalties almost inevitably occurs in organizational development work. Perhaps the best strategy to cope with it is to adopt a personal policy of always working with one or more organizational development consultant colleagues. Working as a team can provide added perspective that frequently can be essential in sorting out the meaning of multiple group involvement.

Commentary: Some Final Reflections . . .

As professionals in a relatively new field like organizational development it is particularly important that we periodically take a look at the field in which we practice--to ask ourselves questions like: What are we trying to do? What trends are occurring in our field? Are the basic assumptions on which we operate still valid? What evidence do we have that what we're doing is really making a difference? Etc., etc. In short, we need to keep our own practice in perspective.

As you know, the first identifiable OD efforts began in the 1960's with their roots in the fields of management development and group dynamics training labs. Organizational development emerged because those who were engaged in these training efforts became increasingly aware that individuals who were sent to training programs often returned to organizations where their new-found approaches and behavior were quickly snuffed out by indifference or resistance. The forces within an organization can easily discourage an individual from violating deep-rooted expectations and norms. Thus began the notion of "training the system" rather than simply

the individual. By training people who work together, the possibilities of reinforcement are increased with the result of a genuine long-range improvement of organizational effectiveness.

What have we learned in the years of OD practice since the 1960's? Below are some key insights that occur to us (you might want to add some of your own).

1. The basic idea of OD makes sense: Training the system through team-building efforts, confronting interdepartmental differences in new ways, or similar processes and interventions have made significant improvements in many organizations.
2. We have learned to articulate more effectively the values and assumptions underlying a participative approach to decision making and action in organizations.
3. We have become more aware of the importance of diagnosing problems before developing an action program. We now ask, "Why are things as they are?" before we ask, "What should I do?"
4. We have learned more about the high cost of distrust in organizations.

   When people view one another with suspicion, the resulting miscommunication, game-playing and passive resistance saps energy and morale to an extent that makes even expensive OD efforts a bargain.
5. We have learned to be more skillful in pointing up discrepancies between policy and practice in organizations, discrepancies that systematically reduce credibility and commitment.
6. We have learned that the process by which decisions are made may be more important than the quality of decisions themselves (for decision making is only one part of the total problem solving process).
7. We have learned the importance of continually monitoring and updating communication processes within organizations, since we tend to overestimate the understanding that exists.

8. We have begun to think of conflict more as an important process to be managed, rather than as a hazard to be discouraged and suppressed.
9. We have learned that any significant OD effort requires some degree of understanding and support from top organizational levels to be sustained and effective over a long period of time.
10. We have learned much about how an internal-external consulting team can work together to achieve the maximum combination of influence and perspective.
11. We have come to appreciate more fully the importance of continually "practicing what you preach" as an OD consultant to maintain credibility and influence.

This last learning lends additional weight to the message of the last chapter. As OD consultants, we must "model" a commitment to personal growth. If I want others to grow and mature (i.e., change attitudes, behavior and ways of experiencing), I must be willing to do so myself. If I want others to experiment and take risks, I must exemplify that value myself. If I expect others to evaluate themselves and submit their behavior to examination by others, I must do the same.

Our two sources of growth as professionals are our own experiences and the experience of our colleagues. To learn from my own experience involves taking the necessary time to reflect on what I've tried to accomplish and how it worked out--either reflecting by myself or with some trusted colleagues. To learn from the experience of colleagues involves working with them directly or reading of their work and discoveries in books and journals. Thus it is most appropriate to conclude by referring you to the bibliography as suggested reading.

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Postscript

The Dynamics of Training Trainers

The companion volumes to *Concepts for Organizational Development in Education* describe ways these concepts have been used in training trainers for organizational development in education. The word "trainers," rather than "consultants," is used here to bring attention to a set of dynamics that can be both exciting and problematic.

In our experience, there is a major difference between training people who wish to try new things as opposed to training people to be trainers for others in providing those things. The user of Providing Organizational Development Skills (PODS) instructional training systems, especially the PETC systems, needs to understand, and be prepared to deal with, such dynamics directly.

Put simply, the major concern is that the PETC trainee may simultaneously identify with both the role of trainee and trainer. In fact, it is necessary that the trainee become explicitly aware of experiencing both roles. This invites a sort of planned schizophrenia which can be confusing at best, and dangerous at worst. Any of us may carry anger about past experiences with authority figures and/or unresolved feelings of guilt concerning our impulses and ideas. We may sometimes get caught between our identification with trainee demands and our identification with trainer competence.

The training designs developed and formed in the PETC systems include many facets which have combined purposes of easing this sort of conflict. The timing and nature of activities that invite self-sharing and interpersonal feedback are among them. The careful attention to building norms of helpfulness among trainees and resisting dependence on those conducting the PETC training are also considered vital.

The authors believe that only persons with considerable experience in training trainers, as opposed to direct training and consulting, should attempt to do so. This experience should come in cotraining with persons already recognized as having expertise in training trainers. We once hoped we could objectify the things involved in such expertise. It would be nice to reduce the mystique involved. However, this ability seems to include some things concerning developmental and cultural ways of understanding that we were not able to reduce to readily communicable definitions.

With experienced senior trainers, the designs of the PETC instructional systems have proved safe for all who have participated in the training up to the time of this writing. Nearly all have reported their experiences as worthwhile and frequently enjoyable. As these materials are used by others we wish to share the following caution. Prior to creation of the PETC systems, the senior author saw individuals have psychotic breaks in training of trainer experiences on two separate occasions. The dynamics involved are not to be taken lightly.

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For those of you who are just beginning to get immersed in the organizational development literature, the following are some sources which we have found particularly helpful in both their focus on human systems and planned change and perspective on the dynamics of the OD process. This list is not exhaustive but should provide you with a firm foundation from which to explore many of the relevant issues in our field. In addition, one of the best sources for keeping current with what is happening in the OD field is the *Journal of Applied Behavioral Science*.

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